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ABSTRACT

Responses to a 1978 telephone survey of selected Association of Research Libraries (ARL) directors indicated a movement toward the use of endowed funds for collection development and toward external funding for special collections. Other needs for which libraries were seeking external monies included technological improvements, publications, expanded services, and buildings. This collection of documents on external fund raising in ARL libraries contains: (1) a concise summary of fund raising strategies, national foundation grant trends, and development and overall benefits of increased external support; (2) a portion of the Council on Library Resources (CLR) Fellowship report on outside support for book funds (prepared at Brown University); (3) general resource materials on The Foundation Center and The Grantsmanship Center, and suggestions for applicants for the 1978 National Historical Publications and Records Commission Records Grant Program; (4) program and job descriptions from Northwestern University and Duke University; (5) examples of fund raising presentations from University of Pennsylvania, University of Chicago, Harvard University, Yale University, and Princeton University; and (6) two listings of selected foundations, i.e., those making grants to academic libraries in 1977, and those contributing to libraries since 1972. (THC)

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OCTOBER 1978

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External Fund Raising

Kit 48

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EXTERNAL FUND RAISING IN ARL LIBRARIES

As their budgets grow more restrictive and as university capital funding seems less able to meet library needs, research and academic libraries are seeking external sources to supplement appropriated funds. While large foundations have always been a main source of external support, libraries are now looking at smaller foundations, local corporations and businesses, endowments, individual gifts, friends' groups, and alumni support as well. A SPEC telephone survey of selected ARL directors in Summer 1978 indicates a movement toward use of endowed funds for collection development and toward external funding for special collections which can no longer be supported entirely by the general library. Other needs for which libraries are seeking external monies include technological improvements, publications, expanded services, and buildings.

FUND RAISING STRATEGIES. While many directors are assuming major responsibility for external fund raising themselves, several have asked a library staff member, often an assistant librarian or collection development administrator, to study grantsmanship through formal classes or workshops, and have added responsibility for fund raising to that person's job description. In fewer instances, a new type of planning position has been created -- one which defines library needs and seeks funds to fill those needs. Organizations such as the Los Angeles-based Grantsmanship Center and The Foundation Center based in New York are cited as being particularly helpful in the planning stages.

A Council on Library Resources Fellowship study in Spring 1978, which included on-site interviews with 12 private university libraries to determine their level of outside source support for book funds, found that half the libraries had appointed staff members with specific duties to seek outside funds and half had played a major role in the capital fund campaign of their parent institutions. Some of the libraries were preparing support data and budget presentation materials especially geared to fund raising information needs, and some were strengthening ties with the universities' sponsored research departments, in order to take advantage of their expertise in fund raising.

Administrators who have been involved with grant applications caution that proposals must fit the situation in each instance, and that a variety of strategies and contacts is crucial to successful fund raising, as well as keeping in touch with current interests of potential contributors. For example, large foundations have been characterized as more interested in national-level programs involving resource sharing, cooperative library activities, or automation of multi-library activities, whereas area businesses, alumni, individual donors, and smaller foundations seem more interested in supporting a local library collection. Some fund-givers note that a library increases its chances for a grant if it keeps in touch with the funding source throughout the proposal writing and follows carefully any written

instructions. A specific work plan written by a person with technical knowledge of the proposed project carries more weight than generalities.

UPDATE ON FOUNDATIONS. Recent analyses of grants of large foundations support a concern of some directors that large foundations are focusing grant monies on national-level cooperative and resource sharing programs rather than on individual research library programs. As reported by The Foundation Center in successive editions of the Bowker Annual, in 1975 academic libraries far outranked other types of libraries in number and size of grants received. In that year, academic libraries received two grants for each one received by a public or special library; of the 50 largest grants, academic libraries received 34. In 1976, college and university libraries received almost double the number of grants received by any other type of library: Out of 303 grants recorded, 96 went to academic libraries. Last year, it was noted that academic libraries tend to receive the largest unrestricted gifts, but they had received only 71 out of 311 grants.

Another movement in the area of national foundation grants has been the development of additional support for academic and research library development through the Council on Library Resources. The Council, which received one of the largest single foundation grants last year, is funded by several foundations. Reflecting current research library needs, the Council's interests involve programs of bibliographic control and collection building; library management and services; professional development and education; and research, analysis, and planning.

NEEDS AND TRENDS. More and more academic library directors are finding that the development of alternative funding sources is becoming an integral part of their job. Although external fund raising has had only a limited impact to date, directors contacted by SPEC note that their efforts are indeed bringing in extra money and that they plan to expand their efforts. Because of perceived shifts to large foundation support for national level programs rather than for individual library efforts such as building programs, directors and other staff responsible for fund raising are paying more attention to local resources.

Some libraries have expressed concern about the overall benefit of increased external support, since it can lead to a corresponding decrease in appropriated funds. Because of a general financial crunch, some universities have a policy of withdrawing general funds from a library when it receives endowments. Such a policy discourages library fund raising efforts at a time when they are most needed. Another disadvantage of grant monies concerns restrictions on their use. Since these restrictions are usually quite specific, allocations from grant sources cannot be changed as program priorities change.

This Flyer and Kit have been developed to replace an earlier Flyer/Kit (#22, November 1975) which dealt with Private Foundations. Another SPEC Kit (#6, April 1974, updated 1977) deals in more depth with Friends of the Library Organizations.

The accompanying kit contains a portion of the CLR Fellowship report on outside support for book funds, and materials from ARL member libraries, information centers, and selected funding sources. Another resource is an ALA publication on non-governmental sources for alternative funding due to be published in January 1979. Kit 48, External Funding, is available for $7.50 to ARL members and SPEC subscribers, and for $15.00 to all others, prepaid, from: SPEC, Office of Management Studies, Association of Research Libraries, 1527 New Hampshire Avenue, N.W. Washington, D.C. 20036.

EXTERNAL FUND RAISING IN ARL LIBRARIES

KIT #48 - OCTOBER 1978

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BROWN UNIVERSITY
Sept. 1978

EXTERNAL FUND RAISING FOR BOOK FUNDS

A CLR Fellowship Report

by Frederick C. Lynden
Assistant University Librarian
for Technical Services
Brown University Library

There is a growing recognition of the importance of gift and endowed book funds for the support of library materials budgets. External fund raising is one obvious solution to the problem of constantly rising materials costs and increasingly inadequate university support. In order to discover the current level of support for university libraries from outside sources, staff in each of twelve private university libraries[1] was asked to indicate the proportion of the library's 1976/77 materials budget based on non-university sources. Surprisingly, in only one case was this information obtainable from the library annual report. In six instances, the information was calculated on the spot. In five cases, the information was available either as a part of the monthly budget report or as a part of a special report for the university administration. In the latter situation, a table covering the last fifteen years of university endowment, gift, and grant funds used for collection development was available. The value of such management information cannot be underestimated. This is vital information in terms of estimating annual support for materials, negotiating the university proportion of the materials budget, and presenting the case to foundations or friends for raising additional funding.

ENDOWMENT FUNDS:

The distinct advantage of endowment support for university materials budgets is the dedicated steady income for maintaining collections. Two drawbacks to endowment funds are the changing level of income, and the frequently restrictive nature of their conditions. Although the income can be variable, some institutions hedge this possibility by guaranteeing libraries a certain level of earnings. This is usually less than the customary rate in order to provide the university with funds during the periods of austerity. Many institutions simply do not accept gifts which are too restrictive. Another difficulty libraries have experienced is withdrawal of general, university funds when endowments are donated to the library. One institution has encouraged the library to raise funds by establishing a formula to withdraw only 50% of the university income when an endowment fund is awarded to the library.

1. Brown, Chicago, Cornell, Harvard, Johns Hopkins, Northwestern, University of Pennsylvania, Princeton, Rice, Stanford, University of Southern California, and Yale.

001

The median percentage of endowed funds spent by the twelve university research libraries for materials in 1976/77 was 12.6% and ranged from a low of .7% to a high of 42%.[2] Due to the steep cost rise for materials, the proportion of general university funds required by libraries has also increased faster than endowment and gift funds. For example, over a fifteen year period, one library's endowment funds increased by four times and the general funds by three. Despite these increases the general fund proportion increased from 62% to 77% and endowment increased from 9% to 14%:

Fiscal Year	Appropriation	(%)	Endowment	(%)	Gifts&Others	(%)	Total
1962-62	375.1	62	55.1	9	172.9	29	603.1
1967-68	839.6	70	94.8	8	269.4	22	1203.8
1976-77	1225.7	77	232.5	14	141.8	9	1600.0

This increase in general fund support of acquisitions is a concern of many university administrators, who indicate a greater commitment to external fund raising for libraries:

-- We will be increasingly looking for people to give us money for the library. The library is certainly higher on the fund raising priorities.

-- We are on the verge of seeing something done about libraries with greater commitment through annual fund drives.

-- The library will share equally on restricted income, but it is growing slowly. The library's share will not decline, but its share must increase in order for the library to keep up in acquisitions.

At least two library boards went on record in the following manner:

-- In the short run (and the longer), the library urgently needs enlarged budgetary support--support which the university must seek through "development." And the problem is lent special urgency by the evident fact that a library collection must be kept current--it is not easy to make up for ground lost in a "lean" period when more affluent days may return, if, indeed, they ever do.

-- Generous as the General and Educational Budget is in supporting this Library, this budget is the library's chief, almost exclusive, source of support. The substantial capital funding that came from the University in years past and federal grants are no longer available. Endowed book funds are almost nonexistent at this library, but were essential to the development of libraries in several other private universities and they continue to play a major role in providing current support. We believe that this library should actively seek such funds.

2. See Table I.

GIFT AND GRANT FUNDS:

It is also evident from the foregoing that gift and grant support contribute significantly to private university materials funding. As this study has previously noted, federal support was a major factor in the rapid growth of research libraries in the sixties, and had until last year (with the passage of legislation authorizing Title IIC) subsided. The illustration of funding from above, and the following example show how fluctuating gift and grant support can affect general university appropriations:

	1955/56	%	1965/66	%	1975/76	%
Appropriation	$81,037	49	$280,992	41	$1,027,335	57
Endowed Funds	$55,036	34	$196,427	30	$ 505,692	28
Gifts/Grants	$26,682	17	$194,534	29	$ 266,863	15
Total	$162,755	100	$671,953	100	$1,799,890	100

In one university library, the Library Board reported:

> The Library's expenditures for new materials have now increased by approximately 50 percent over the 1970-71 level, which has been taken as a base throughout this Report. Almost all the increase is now supported by "outside" funding, that is, monies not appropriated from general university funds. A small portion of this money is government funding, but by far the greater part of it comes from other sources and the most substantial part has been raised within the last two years.

This report goes on to state that efforts to raise endowment funds have not produced results.

FUNDING EFFORTS:

Half of the libraries visited have designated an individual on their staff who is concerned with fund raising. Two of the six are full time staff members whose sole responsibility is fund raising. The other four include an Assistant Director for Special Collections who is paid one-third by the Development Office; a half-time Assistant to the Director; a faculty member who works three quarter time; and a full time position concerned with copyright, legal suits and governmental relations as well as fund raising. In many institutions the Development Office has discouraged such a position. However, in all cases where the library had such a position there was close coordination with the university development office, and in one instance, the Library Development Officer is a librarian who spent an internship of two and a half years in the University Development Office prior to beginning work in the library. According to its proponents, use of library fund raisers has been most successful because library staff are best able to relate library conditions and expectations to potential donors. As one director put it: "Fund raisers cannot be as enthusiastic and knowledgeable as librarians."

Friends' groups play an important role in library fund raising. It is no coincidence that the libraries with the largest book endowments have had friends' groups established for the longest period. Of course, library fund raisers do not ignore foundation and federal grants (NEH has been particularly helpful in bolstering research collections with its matching grant proposals), but at least two of the directors interviewed were skeptical about long term support from foundations for collections. As one noted: "The money coming from foundations is going for things which will promote national solutions, not individual institutions. It is becoming harder and harder for a library to get funds for its own program ." Or as another commented: "We don't rely much on foundations giving now. We are more and more trying to go to the alumni. There is no possibility for collection support from foundations, unless they are small." He suggested that corporations and local foundations might be future sources which libraries could tap. Fund raising in friends' groups is frequently collection oriented. In one university library, a separate annual report is issued with lavish illustrations from rare books which have been purchased. One year this annual report listed specific lacunae in the collections to show donors where materials are needed. One friends' group has printed a list of titles needed by the library in their regular newsletter, giving the bibliographic description, a short annotation, and the price. These are techniques used on a regular basis to interest donors in library activities.

Libraries are also a major part of capital fund raising drives by universities. In four recent capital fund campaigns, libraries have requested book endowment funds:

	Campaign Objectives	
	Library Totals:	Acquisition's Portion of Totals:
Library A	$22 million	$10 million
Library B	$24.8 million	$14 million
Library C	$ 8 million	$ 7.8 million
Library D	$27 million	$17 million

Despite these heavy commitments, the campaigns have not been as successful in the area of acquisitions. This seems to be a difficult fund raising area. Book funds are not viewed as being as tangible and visible donations as monies given for buildings. As one Library Development Officer said: "Library endowment funds for materials don't have that much sex appeal." One of the libraries visited recently announced that the fund raising organization has pledged a $1 million library endowment "with income earmarked for the purchase of books and materials." Other libraries have special leaflets prepared specifically to raise book endowments. For example, one notes:

> "Book funds are among the most personal and enduring of capital gifts, and they offer a wide range of choice to the donor."

Another describes a one-million dollar challenge to establish named book funds:

> "As someone who understands the importance of endowed book funds to the continued growth of the library, you or your family may want to participate in this exceptional opportunity to establish a named book fund. The fund you create at this time will be doubled immediately under the terms of the grant."

At another university, brochures speak of the Collections, the Scholars, the Donors, and Gift Opportunities. In speaking of the donors, the pamphlets point out:

> "The University provides basic staff support, but funds for such expenses as major acquisitions, restoration, binding, and printed catalogs must come entirely from outside donors."

One university successfully used an appeal for small gifts for books in the annual fund campaign, offering a book plate with a place for the donor's name and suggesting that donors designate appropriate subjects for their gifts. Another university honors deceased alumni by plating books purchased with university appropriations according to the subject interests of the deceased. The Development Office informs the family as a way of keeping in touch with alumni and showing their concern. A few gifts to the library have resulted from the latter program.

Restricted endowments were mentioned earlier as an issue in fund raising for library materials. One university has chosen to emphasize the value of unrestricted gifts while at the same time expressing the receptiveness of the library towards restricted gifts. This university uses the following approach:

> Funds designated for certain areas of study continue to be welcome gifts, of course. The areas in which the Library's present needs are greatest are listed on the next page, as are the minimum amounts required in new endowment to cover future acquisitions in each area.

This library requests donors preferring to restrict the income from book funds to specific types of purchases to discuss their gifts beforehand with the University Librarian.

CONCLUSION:

Librarians and university administrators of the institutions visited are convinced that it is essential to secure external funding for library materials. Some elements of their efforts to obtain outside monies merit attention:

1) Some libraries have prepared a historical record of expenditures grouped by major sources of income to define their funding needs; to project annual budgetary support for materials; to aid in presentation of the annual budget request; and to provide data for raising additional monies from foundations or friends.

2) Six of the libraries visited have appointed staff members whose specific duties are to seek funds from outside sources. Some of these staff members have full time positions and others combine related duties.

3) Six of the libraries have been included in the capital fund campaign of their institution, and funds for collections constituted fifty percent or more of the library campaign targets.

4) Some library administrators believe national foundation support is drying up as a source of materials funding, and recommend alumni, corporations, or local foundations as possible contributors.

5) Some novel techniques for advertising the needs of libraries have been used by these libraries, including a specially printed annual report for friends of the library, a shopping list of titles and their prices in a library newsletter for friends, book plates sent with annual fund literature, and leaflets to describe what contributions can do.

National publicity on the financial needs of private research libraries would be most helpful in making potential donors aware of library requirements. The focus of this study is on materials budgeting, but clearly the public needs to be make aware of the myriad collection support functions: off-campus storage, processing, preservation and restoration, and staffing. Libraries need to educate outsiders about their role, functions, and accomplishments.

TABLE I

SOURCES OF MATERIALS FUNDS
1976/77

Institutions	Univ. & Dept. Funds	Endowed	Gifts, Grants,& Fees
A	51.00%	32.000%	17.000%
B	36.40%	42.000%	21.600%
C	87.40%	11.800%	.700%
D	52.10%	31.500%	16.400%
E	76.60%	14.530%	8.860%
F	71.40%	8.470%	20.200%
G	94.30%	.700%	5.000%
H	85.75%	7.125%	7.125%*
I	86.00%	12.600%	1.400%
J	74.80%	7.100%	16.800%
K	86.60%	8.200%	4.200%
L	83.12%	9.010%	7.850%

Notes:

A - Source is the Business Manager.
B - Source is the annual report.
C - Source is the Business Manager.
D - Source is budget documents.
E - Source is budget documents.
F - Source is Business Manager.
G - Source is Business Manager
H - Source is Assistant Director for Technical Services
I - Source is Business Manager.
J - Source is budget documents
K - Source is financial report.
L - Source is Acquisitions Librarian

* Divided in half since the library was not able to divide its special funds into endowment gift and grant as requested.

RESOURCES

Foundation
Grantsmanship
Archives

FOUNDATION CENTER

The Foundation Center is a national nonprofit service organization founded in 1956 to provide a single authoritative source of factual information on philanthropic foundations and their grants. The Center attempts to provide such information to the philanthropic community, grantseekers, and government agencies through programs of research, publication, computer data bases, and library service.

The Center's publications, sets of foundation IRS information returns, and additional funding information resources are available for free public use in all four libraries operated by the Center (in New York, Washington, D.C., San Francisco, and Cleveland). The Center also coordinates a network of over 65 regional reference collections of information on foundations. These collections are located in host institutions, generally public, university, or foundation libraries, in 46 states, Mexico, and Puerto Rico. Write to the Center for a complete address list.

The Center generates three interactive computer data bases dealing with foundations and their grants which correspond in scope to three of its major publications: The Foundation Directory, The Foundation Grants Index, and The Foundation Center National Data Book. Access to these data bases is available via the Lockheed Dialog Network and through the Center's Associates Program. The Associates Program provides special information retrieval services for a fee to organizations needing frequent and comprehensive data on foundations and funding.

The Center's publications, described below, are available for purchase or for free public use at the Center's library collections. Some may also be available in other public or university libraries.

Directories

Foundation Directory, Edition 6. Describes the 2800 largest foundations. Included are addresses, personnel, statement of funding interests, current fiscal data, application information. Subject, geographic, personnel indexes. 1977. $36.

Foundation Center Source Book Profiles. Bimonthly looseleaf service. Includes comprehensive analyses of 500 major foundations per year, covering top 1000 in two year cycle with interim updates. Includes statistical breakdown of grants by subject and extensive list of sample grants. Subject, types of support, geographic indexes. $175. annual subscription.

Foundation Center National Data Book. Brief descriptions of all 21,000 currently active grant-making private foundations in the U.S. Includes fiscal data, address, contact person. Alphabetical and geographic access. 2 volume set. 1978. $40.

Foundation Grants to Individuals. Describes the program of over 1000 foundations which make grants to individual applicants. 1977. $13.

Indexes to Foundation Grants

Foundation Grants Index. Annual index to over 14,000 foundation grants by about 350 major foundations. Subject, foundation, and recipient organization indexes. $20.

Foundation Grants Index in Foundation News. Update appearing in bimonthly periodical lists about 1800 new foundation grants per issue. $20. annual subscription.

COMSEARCH Printouts. Over 55 individual computer printouts listing foundation grants in broad subject areas. Annual. $11. per subject ($3. on microfiche)

International Philanthropy. Index to grants by U.S. foundations to domestic and foreign recipients for international purposes. Annual. $35.

Guides for Grant Seekers

About Foundations. Guide to funding research. $3.

What Will a Foundation Look for When You Submit a Grant Proposal? Up to five copies free.

What Makes a Good Proposal? Up to five copies free.

Philanthropy in the United States: History and Structure. Up to five copies free.

Foundation Center Associates Program. Special service providing toll-free telephone reference, taped weekly summaries of foundation news, duplicating, mail, computer search, and research services. $200. annual fee.

THE FOUNDATION CENTER

The Foundation Center makes available factual information on philanthropic foundations through programs of library service, publication, and research. Foundation Center libraries contain all of the Center's standard reference works, recent books and reports on foundations, foundation annual reports on microfiche, and information returns filed by foundations with the Internal Revenue Service. Each collection contains the IRS returns for most foundations located within its state, while several, as indicated below, also cover foundations in adjacent states. A complete set covering all U.S. foundations can be found at the national libraries. Users should telephone individual libraries for a current schedule of hours.

Where to Go for Information on Foundation Funding

Foundation Center National Libraries

The Foundation Center
888 Seventh Avenue
New York, New York 10019

The Foundation Center
1001 Connecticut Avenue, N.W.
Washington, D.C. 20036

Foundation Center Field Offices

The Foundation Center — San Francisco
312 Sutter Street
San Francisco, California 94108

The Foundation Center — Cleveland
Kent H. Smith Library
739 National City Bank Building
629 Euclid Avenue
Cleveland, Ohio 44114

National Cooperating Collection

Donors Forum of Chicago
208 South LaSalle Street
Chicago, Illinois 60604

Regional Cooperating Collections

ALABAMA
Birmingham Public Library
2020 Seventh Avenue, North
Birmingham 35203

Auburn University at Montgomery Library
Montgomery 36117

ALASKA
University of Alaska, Anchorage Library
3211 Providence Drive
Anchorage 99504

ARIZONA
Tuscon Public Library
Main Library
200 S. Sixth Avenue
Tuscon 85701

ARKANSAS
Little Rock Public Library
Reference Department
700 Louisiana Street
Little Rock 72201

CALIFORNIA
University Research Library
Reference Department
University of California
Los Angeles 90024

San Diego Public Library
820 E Street
San Diego 92101

COLORADO
Denver Public Library
Sociology Division
1357 Broadway
Denver 80203

CONNECTICUT
Hartford Public Library
Reference Department
500 Main Street
Hartford 06103

FLORIDA
Jacksonville Public Library
Business, Science, and Industry Department
122 North Ocean Street
Jacksonville 32202

Miami – Dade Public Library
Florida Collection
One Biscayne Boulevard
Miami 33132

GEORGIA
Atlanta Public Library
126 Carnegie Way, N.W.
Atlanta 30303
(also covers Alabama, Florida, South Carolina, and Tennessee)

HAWAII
Thomas Hale Hamilton Library
University of Hawaii
Humanities and Social Sciences Division
2550 The Mall
Honolulu 96822

IDAHO
Caldwell Public Library
1010 Dearborn Street
Caldwell 83605

ILLINOIS
Sangamon State University Library
Shepherd Road
Springfield 62708

INDIANA
Indianapolis – Marion County Public Library
40 East St. Clair Street
Indianapolis 46204

IOWA
Des Moines Public Library
100 Locust Street
Des Moines 50309

KANSAS
Topeka Public Library
Adult Services Department
1515 West Tenth Street
Topeka 66604

KENTUCKY
Louisville Free Public Library
Fourth and York Streets
Louisville 40203

LOUISIANA
New Orleans Public Library
Business and Science Division
219 Loyola Avenue
New Orleans 70140

MAINE
University of Maine at Portland-Gorham
Center for Research and Advanced Study
246 Deering Avenue
Portland 04102

MARYLAND
Enoch Pratt Free Library
Social Science and History Department
400 Cathedral Street
Baltimore 21201
(also covers District of Columbia)

MASSACHUSETTS

Associated Foundation of Greater Boston
294 Washington Street, Suite 501
Boston 02108

Boston Public Library
Copley Square
Boston 02117

MICHIGAN

Henry Ford Centennial Library
15301 Michigan Avenue
Dearborn 48126

Purdy Library
Wayne State University
Detroit 48202

Grand Rapids Public Library
Sociology and Education Department
Library Plaza
Grand Rapids 49502

MINNESOTA

Minneapolis Public Library
Sociology Department
300 Nicollet Mall
Minneapolis 55401
(also covers North and South Dakota)

MISSISSIPPI

Jackson Metropolitan Library
301 North State Street
Jackson 39201

MISSOURI

Kansas City Public Library
311 East 12th Street
Kansas City 64106
(also covers Kansas)

The Danforth Foundation Library
222 South Central Avenue
St. Louis 63105

Springfield – Greene County Library
397 East Central Street
Springfield 65801

MONTANA

Eastern Montana College Library
Reference Department
Billings 59101

NEBRASKA

W. Dale Clark Library
Social Sciences Department
215 South 15th Street
Omaha 68102

NEW HAMPSHIRE

The New Hampshire Charitable Fund
One South Street
Concord 03301

NEW JERSEY

New Jersey State Library
Reference Section
185 West State Street
Trenton 08625

NEW MEXICO

New Mexico State Library
300 Don Gaspar Street
Santa Fe 87501

NEW YORK

New York State Library
State Education Department
Education Building
Albany 12224

Buffalo and Erie County Public Library
Lafayette Square
Buffalo 14203

Levittown Public Library
Reference Department
One Bluegrass Lane
Levittown 11756

Rochester Public Library
Business and Social Sciences Division
115 South Avenue
Rochester 14604

NORTH CAROLINA

William R. Perkins Library
Duke University
Durham 27706

OKLAHOMA

Oklahoma City Community Foundation
1300 North Broadway
Oklahoma City 73103

Tulsa City-County Library System
400 Civic Center
Tulsa 74103

OREGON

Library Association of Portland
Education and Psychology Department
801 S.W. Tenth Avenue
Portland 97205

PENNSYLVANIA

The Free Library of Philadelphia
Logan Square
Philadelphia 19103
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Pittsburgh 15213

RHODE ISLAND

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Reference Department
150 Empire Street
Providence 02903

SOUTH CAROLINA

South Carolina State Library
Reader Services Department
1500 Senate Street
Columbia 29211

TENNESSEE

Memphis Public Library
1850 Peabody Avenue
Memphis 38104

TEXAS

The Hogg Foundation for Mental Health
The University of Texas
Austin 78712

Dallas Public Library
History and Social Sciences Division
1954 Commerce Street
Dallas 75201
(also covers Arkansas, Louisiana, New Mexico, and Oklahoma)

El Paso Community Foundation
El Paso National Bank Building, Suite 1616
El Paso 79901

Minnie Stevens Piper Foundation
201 North St. Mary's Street
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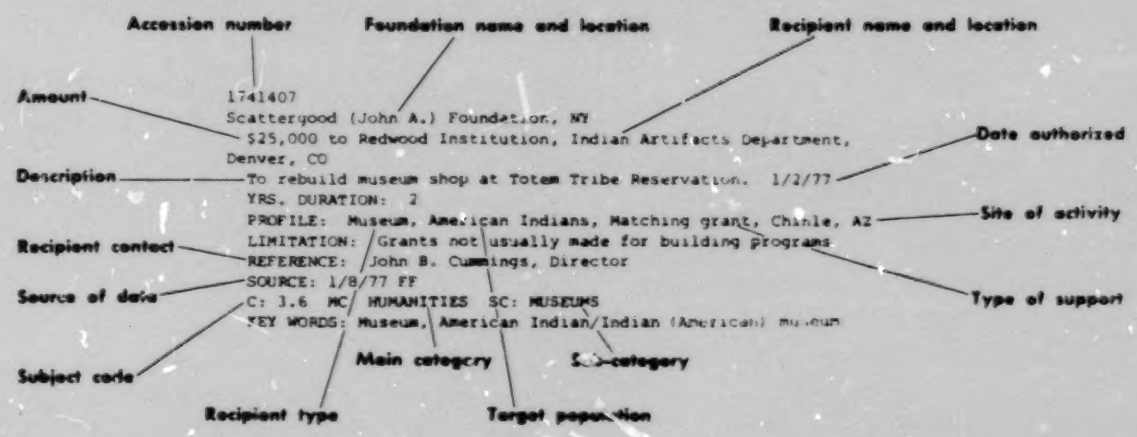

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GRANTSMANSHIP CENTER
April 1978

Reprinted with permission from the Foundation News

THE GRANTSMANSHIP CENTER:

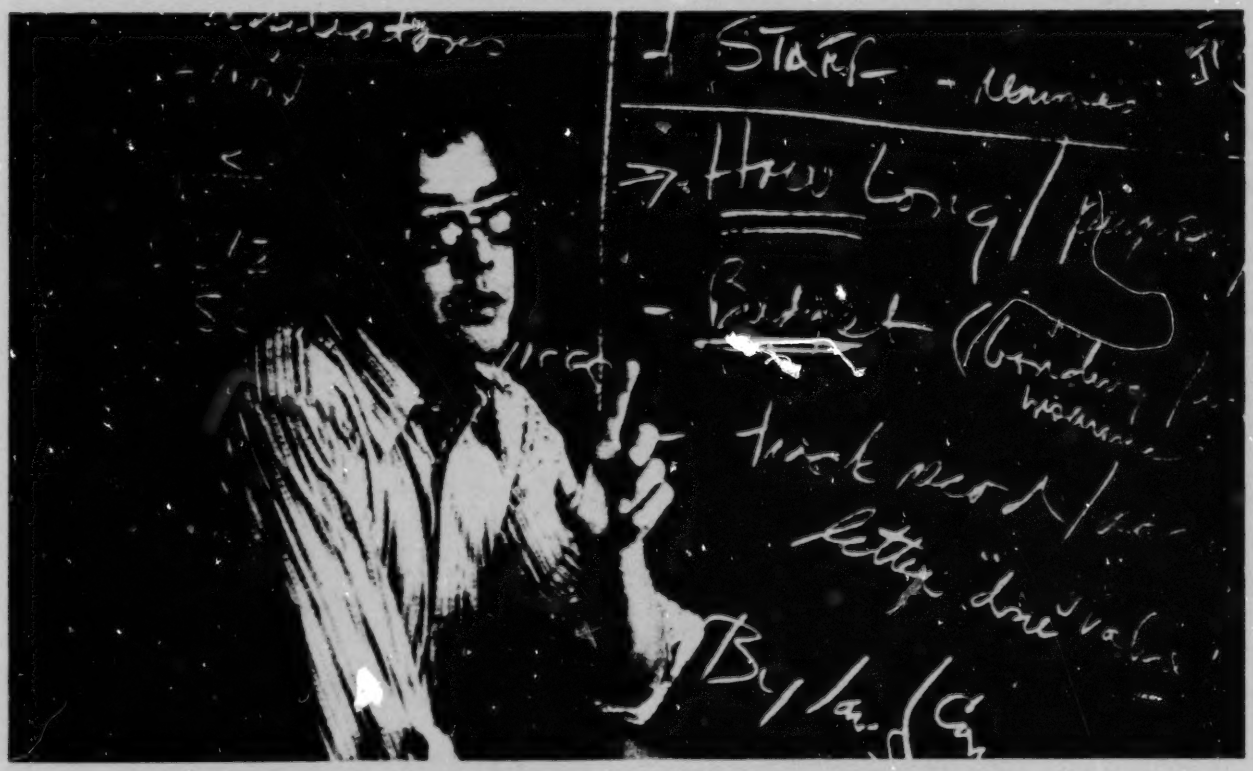
DAVID VS. GOLIATH ROUND TWO

Karin Abarbanel

Five years old and still growing, this small agency is changing the tempo of the funding hustle and putting people and planning back into programs.

In recent years, the grants game has become big business. The stakes are high — billions of private and government dollars — and nonprofit and profit-making groups compete for them, side by side. Dozens of training programs, publications and specialized services have sprung up in the funding field (see box, page 24). Many of them cost thousands of dollars a year — and many disappear before the ink on their letterhead dries.

Not so the Grantsmanship Center. Part of the new wave of support help for nonprofit organizations and one of its veterans, the center has graduated over 5,000 participants since its training program began six years ago. These alumni attributed over $100,000,000 in new grants for their organizations directly to the center's program, according to an independent evaluation published early in 1978. In 1976 alone, the Los Angeles-based center trained staff from over 1,200 organizations through 64 Grantsmanship Training Programs in 38 cities around the country. While most participants come from nonprofits seeking funds,



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several hundred of the center's graduates are from the other side of the funding table: state agency personnel, local and federal officials and foundation executives.

But its training workshops are just one facet of the center's operation, stresses Norton J. Kiritz, its founder and president. Policy research, services to alumni, advocacy for more effective public and private funding information systems, publication of *The Grantsmanship Center News* — these are some of the major areas in which he sees the center expanding its role in the next five years.

While the center describes itself as a nonprofit educational institution, it's also been described as a "benevolent consulting firm." Its strong support of the creation of the donee group, its critical reports on corporate giving and foundation accountability might well earn it the title of "gadfly" of the nonprofit sector in other quarters. By whatever name it's called, the center's outspoken stand on some of the major issues in philanthropy has had definite impact on the field. The center's Washington office — created two years ago for outreach to federal agencies — has been consulted by the Senate Intergovernmental Affairs Committee, members of Congress and their staffs on federal funding information, management systems and regulatory reform.

By highlighting the lack of donee input into the Filer Commission's research, the center contributed to the creation of the donee group and its public report. A proposal writing guide designed by its staff has been adopted by scores of agencies and funding sources; reprinted in numerous books and magazines, the guide's circulation has passed the 250,000 mark.

If it seeks to promote accountability, access and more professional procedures on the part of grant makers, the center is equally rigorous in its efforts to school grant seekers in their responsibilities: the design of well-planned projects and proposals for "programs of merit and potential benefit to society." Its goal of "promoting excellence in funding programs of merit" and its independent focus on the grant-making process are probably the keys to its survival and growth — along with a national alumni network, a tightly knit staff and a proven product.

Editor's Note: While not a management support organization as broadly defined, The Grantsmanship Center is one of the new breed of nonprofit organizations serving philanthropy in an attempt to improve the process for the donor and the fund seeker.

Telephones and Tenacity

The center began in 1972 with a good idea, borrowed office space, a box of stationery and a large dose of tenacity, abundantly supplied by Norton J. Kiritz. Coming from a background in child development and six years as planning coordinator with Los Angeles' Community Action Agency, Mr. Kiritz had struggled to help community groups find funding to keep their programs alive. Through his firsthand experience, he came to realize the need to build grantsmanship into community programs, rather than importing temporary proposal writers or fund-raisers from the outside, as many agencies tend to do.

At about the time that Mr. Kiritz was trying to sell the grantsmanship concept to his organization, John Dalessio — then director of the Los Angeles Urban Coalition — had identified proposal writing and grantsmanship as key areas of weakness and top priority needs for community agencies. Mr. Kiritz proposed a "Community Grantsman Project" and Dalessio offered him space and bare-bones support to test the concept. After months of planning, working without pay, Mr. Kiritz launched a 12-week program in 1972. Just three months after this first course began, the center became an independent, nonprofit, tax-exempt corporation; a small tuition fee helped support its first paid staff. The center's first board of directors included Mr. Kiritz, Mr. Dalessio, and 12 agency professionals who had graduated from its first training program.

Several more sessions were held in Los Angeles and news of the program spread by word of mouth. Calls began flowing in from people hundreds of miles away who wanted to attend the sessions. During the fall of 1972, the scene shifted to the East, where an intensive, one-week program was held in Atlanta. Much more compact, coherent and dynamic than the 12-week sessions, the one-week model was adopted permanently by the center.

As the program evolved, more and more organizations requested that the center conduct on-site training programs around the country. Some of these groups agreed to act as hosts for the training programs in their communities, providing facilities, publicizing the program, and handling the recruitment of participants. The first such host was Mills College, which opened its doors to the program in 1972. Since then, more than 78 public and private agencies across the country, including Senator Patrick Leahy's office, in Vermont; Planned Parenthood, in New York; Lone Mountain College, in San Francisco, and scores of others have hosted training sessions — many of them for five years or more. In return for their help, each host organization receives two scholarships for its own staff or other members of its community.

The momentum continued. The Atlanta program in 1972 had nine enrollees; in 1973, over 400 people took part in training programs around the country; there were 905 graduates in 1975, and over 1,200 in 1976. In 1977, staff from some 1,800 organizations were trained in 90 programs. In all, over the past five years, staff from more than 400 health-related agencies, 300 colleges and universities, 132 public school systems, over 256 youth programs and more than 200 social service agencies have taken the course, and the list goes on. Among its graduates from the grant-making side of the table are some 250 representatives from state, county, and city governments and close to 30 foundation executives.

In the first year, graduates attributed some $14,000,000 in new funds for their organizations to the grantsmanship training program; by 1977, it will have helped them raise close to $100 million, according to that outside evaluation mentioned earlier.

Basic Training, Grantsmanship Center Style

Whether it's held in Atlanta, Chicago or Lincoln, Neb., at the office of a local Junior League, the Ohio Human Resources Division or the Seattle Arts Commission, the basic format of the five-day program remains fairly constant. The focus is on three major areas: program planning, the translation of project goals into funding proposals and, finally, locating and approaching government and private funding sources.

Enrollment for each course ranges from 20 to 25 people; each pays a $325 fee to attend. In any one program, you'll find public and private agency people from every field: staff from veteran service groups like the YMCA and the Junior League exchange proposal tips and critiques with community activists and grassroots groups working on a shoestring. Grant seekers rub elbows with grant makers, many of whom take the course to gain help in evaluating proposals and designing guidelines.

This "mixed bag" of participants is intentional, since Norton Kiritz and the center's four trainers believe that a diversity of staff experience and programs makes for a better cross-fertilization of ideas and a more powerful group dynamic — one that you won't get in a training session when everyone comes from the same agency or field. For this reason, as a matter of policy, the center won't run a workshop for all the members of a local Red Cross chapter, for instance.

Usually the five-day course begins with an outline of the basics of program and proposal design. Here, the center's own "Program Planning & Proposal Writing" guide is a key tool; according to the center's staff, it's the most broadly distributed model of its kind in the world. To cap the first day, the group will review and analyze an actual proposal, put on the firing line by a workshop member.

On days two and three, members are initiated into the mysteries of foundation, corporate and government funding. Copies of the *Foundation Directory*, *Foundation News*, the *Catalogue of Federal Domestic Assistance* and other resources are passed around and analyzed. Using these tools, members conduct "hands-on" searches, locating funding sources for their fields and projects. Toward the end of the week, the group breaks down into teams and each initiates, rewrites, analyzes, and refines one or more grant proposals.

Sometimes the process is painful; groups have been known to work through an entire day and evening into the early morning hours, fueled by coffee, donuts, and the dollar gap — struggling to create the "bullet-proof" proposal — only to have it riddled with criticism the next day. But the persistent learn, and more important, they produce. Mark Scharfman is one such graduate: "I really can't say enough about the center. In a way, I see it as a model of the benevolent consulting firm. The fee is not exactly cheap, but you get what you pay for. I was originally trained as a clinician, so I've been involved in plenty of training programs, but the center's course is probably the most effective training I've ever received.

"I was the development officer for Terros, an alternative health care network. After attending the center's program, I wrote 60-odd grants; I made great use of my skills and so did my agency. Of these grants, we hit about 24 to 25, ranging in size from $1,000 to $50,000. I'd have to attribute almost all of those to the center's training program. It's a unique approach that demythologized the whole field of grantsmanship."

Stan Zawacki, manager of community relations at Xerox, and a graduate who helped bring the training program to Rochester, agrees. "I had little or no experience in grant seeking myself," says Zawacki. "Then in 1976, with two other people, I wrote a proposal that gained about $85,000 in LEAA funding for a youth program, just using the basic techniques I'd learned from the training program. One of the things that I like about the course is its applicability to agencies of different generic natures. It's designed so that anyone can use its services. The center's trainer comes in on Monday and by Wednesday, there is a cohesive group of people, sharing information and helping each other."

The Grantsmanship Center has "testimonials" like this by the boxful. In Mr. Kiritz's view, "It's the mixture of grants information, program planning and ethics" that's the key to the training course. "Most people feel that they have to be 'hustlers' to succeed at grantsmanship, and they don't like that idea," he says. "In our program, they learn a new grantsmanship that's moral, responsible, and accountable to the people that

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"The program is a kind of outreach to people who really want to accomplish more, who want to see us get to the root of some of our social problems. During the week, they begin to feel that maybe some of the tools and techniques we're talking about can help. It's that feeling of coming out refreshed, the feeling that 'Hey, there are some organizations around that think the way I'd like my organization to think. I wish my organization were more concerned with a righteous approach to solving problems and less concerned with organizational continuity and growth, and bigger is better. I look at the proposals that we've written and I don't see the people anymore. You read a whole proposal and there are no people. They're talking about organization, structure and personnel, and nowhere do you see the clients.' A lot of people feel that's true — that they've lost sight of their clients."

Norton J. Kiritz, President
The Grantsmanship Center

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are to be served by their organization. This integration of planning, funding and responsibility is what turns people on and brings out the best in our participants and their organizations. And by the way, it seems to be successful in bringing in funding as well."

In the process of training, people often discover that developing a proposal that reflects their agencies' goals can be difficult if those goals are confused or outmoded, if their administrative setup is weak or personnel inadequate for the job they want to undertake. Proposal review carries over into the evaluation of their agency's overall operation, and often hidden weaknesses appear. For this reason, part of the last day of the training program is spent helping graduates translate their new insights into specific recommendations for change within their organizations. Many of the center's supporters and participants feel that this stress on planning has as much as or even more value than the grantsmanship and proposal writing training.

"When we're working with grassroots groups with little administrative experience," says Edwin W. Booth, executive director of the Cummins Engine Foundation, "we try to make it a point to have them go through the training program, both for the training on raising money and to help them in developing their capacities to plan well. That's the trick of the Grantsmanship Center: people go in order to get more money, but they find that what the course is really about is developing good programs that work."

Graduates of the training program also feel that the workshops' success is due largely to the "all-protein, no-fat" (as one participant put it) training provided by Mr. Kiritz and the center's four instructors, who currently run over 100 workshops a year.

Jack Shakely, for instance, one of the senior members of the staff, was the director of development for a community mental health center in Los Angeles for four years and a former member of the University of Oklahoma's development office before joining the center. One of its newest trainers, Eve Berry, was the grantsperson for the city of Bloomington, Ind. A veteran of both the "hands-on" work of writing proposals and negotiating private and government grants, she also ran training workshops out of her agency's office.

It's this combination — often hard to find — of practical, proven fundraising experience and training skills that the center tries to attract in its trainers. They, in turn, create the climate and the group chemistry for the workshops that are the center's mainstay.

In some cases, the interest and enthusiasm sparked by the course have led graduates to create informal local alumni groups that continue to meet together, share information and contacts for months and even years after the training program ends. There are now about 10 of these groups scattered around the country from Portland, Maine, and Rochester to Chicago and Seattle. The Chicago group, for instance, kicked off its first meeting by inviting the program staff of the Chicago Community Trust to speak on proposal review. In Rochester, alumni have been meeting informally over lunch since 1976, when the first training course was held there.

Broadening Goals

The continuing interest of alumni, multiplying workshops, and the growing circulation of *The Grantsmanship Center News* spurred the creation, in 1977, of the "Grantsmanship Center Alumni Directory." More than 1,300 graduates are listed in the publication, along with a brief description of their background and skills. The 1978 edition will be computer-based and will include data on over 3,000 graduates. Its purpose: to create a Grantsmanship Center "alumni network": a national, voluntary core of public and private agency professionals who can provide each other with skills, evaluation help, information, and contacts.

Norton Kiritz also sees the alumni network as a broad-based, powerful constituency. Cutting across agency lines and fields of interest, this network can have an important impact on major issues in philanthropy, government policy and other areas, Mr. Kiritz believes. He is quick to maintain, however, that this constituency, like the Grantsmanship Center itself, is by no means a militant advocacy group promoting the interests of grant seekers.

"One of the unique characteristics of the center," says Mr. Kiritz, "is that it holds no allegiance to anything but that statement, 'excellence in funding programs of merit.' We're not allied

with any particular constituency. The readers of the *News* and the participants in the training programs represent every conceivable kind of organization, and therefore our allegiance is to process — to making the process work better — and not to advocating for a particular group to get more funding."

Pablo Eisenberg, president of the Center for Community Change and a Grantsmanship Center board member, agrees: "There's a tremendous need for both written material and an organization that can bridge the gap for the donor-donee community and one that can talk about philanthropy from both perspectives. One of the reasons that I think this is so important is because of the virtual absence of any mechanism that permits donors and donees to exchange views, to discuss calmly with one another and to share in whatever innovative process might occur in an honest and meaningful way. To the extent that . . . the Grantsmanship Center can help to bridge that gap, it will be fulfilling a tremendously important role, and I think it can, increasingly, as it gains stature, as its materials continue to have credibility and as it builds up a large alumnus body."

The center's effort to produce a double-edged impact — working on the one hand to improve applicants' fund-raising and programming skills and, on the other, to promote better public and private funding processes — has its hazards, especially for a small organization. But the center has often managed to translate this stance into action.

In May 1974, for instance, the *News* conducted and published a survey documenting the low rate of response of the country's 5,500 largest foundations to the public, which prompted a *Foundation News* editorial. In November of the same year, how-

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ever, another survey brought over 300 written responses in support of private funding from center graduates and *News* subscribers. Submitted to the Filer Commission and also published in the *News*, these comments emphasized that, according to one center report, "private sources of financial support were . . . more effective than government sources in planning for public needs, more likely to support innovative programs, more likely to make funding decisions based on merit."

Then, in early 1975, the *News* published a series of articles, including one by Pablo Eisenberg, which pointed out the lack of donee input into the Filer Commission's study. Subsequently, Norton Kiritz was one of two representatives selected from 20 agencies to present the case for donee participation to the Filer Commission. Both the *News* series and Mr. Kiritz's testimony were key factors in the commission's decision to fund the Donee Group. Jim Abernathy, then a Grantsmanship Center staff member, was given a leave of absence to become the research director, and later the director, of the Donee Group.

The center's independent stance on issues like these is possible because it is completely self-supporting. In the five years of its operation, it has neither sought nor received any foundation or government grants. Instead, it is financed through fees for its training programs, subscriptions to publications and income from its reprint service. During the 1977-1978 fiscal year, the center's budget will total over $859,000. Over $600,000 of this is tuition from its training programs, $200,000 from subscriptions to the *News* and $4,000 from reprints. Early in 1978, the center plans to publish its first public report, a five-year one on its programs, evaluation, and financial operation.

While the center receives no public or private funds directly, over 100 funding sources, including a number of foundations, have awarded scholarships to help agencies pay the cost of attending the workshops. Among these contributors are the San Francisco Foundation, the William Penn Foundation, the Laras Fund, the Knights of Columbus, Xerox and several government agencies.

David and Goliath

Now entering its sixth year, the center is well-established in the nonprofit sector. Up to this time, however, it has concentrated most heavily on attracting applicant organizations through its workshops, magazine, and other publications. Its efforts to reach funding sources and to improve the distribution of funds by grant makers have been more diffuse. Many of the larger foundations are only dimly aware of the center's programs and many of the decision makers in the field may view it only as one more fund-raising service in an already crowded field. In the area of federal funding, the center has also had its problems with the shifting sands of bureaucracy and the high turnover rate in many government positions. As a result, its links with federal funders are not as strong as they could be; the same is true of corporate donors.

At the same time, the center is planning to launch some ambitious research projects on controversial topics. Without a solid base of support from all parts of the nonprofit field, and without strong credibility, its efforts to improve the funding process could easily backfire.

For these reasons, the center recently moved to expand its board of directors to include more foundation, government, and corporate executives. With this national board, the center is planning a series of special projects in the next year. Its current goal is to expand its programs without expanding its internal resources by developing partnerships with other research groups and funders. Among its projects are:

Training: While the number of workshops on grant seeking will probably remain at 110 to 120 a year, the center is exploring the design of a special training program for funding sources. This training session for grant makers would brief donors on the full range of funding sources, public and private, and help them refine their procedures, review proposals and communicate more effectively with the public.

Policy Research: The center hopes to stimulate researchers and service providers to identify and address critical issues in philanthropy, social welfare, and public policy. In these projects, the center's role will be that of catalyst: matching independent investigators from a range of disciplines with funding sources who will support their research. The center itself will provide direction and technical assistance and will publicize research results in the *News*. The first of these major projects, an extensive analysis of the United Way, is currently being organized by a Rand Corporation research scientist. To expand its own internal research efforts, the center is also developing an intern program and cooperative projects with academic experts.

Technical Assistance: The center is expanding and reinforcing its work with grass-roots, disadvantaged, and other groups outside the mainstream of funding. In December 1977, the center conducted its first bilingual program in Puerto Rico, attracting participants from throughout the Caribbean. That program also marked the debut of the Spanish language version of the center's widely circulated "Program Planning & Proposal Writing" guide.

Federal Funding: In response to the federal government's efforts to improve access to public funding and to design better guidelines, applications and planning procedures, the center is developing a mechanism for conveying specific information about needed changes to federal agencies.

It recently distributed the first in a series of issue-related questionnaires during its training classes. The results of each of these surveys will be published in a report and channeled to federal agencies for action. Basically, the center's goal is to help spur fundamental changes in the way in which federal regulations are written and designed. It will also continue to alert its constituency to key legislative issues in Congress that might affect nonprofit and voluntary groups. In line with these goals, the center recently presented an extensive critique of the Federal Information Act of 1977, which was included in a major Congressional report.

The Grantsmanship Center News: The most visible aspect of the center's work besides its training sessions, the *News* currently has over 14,000 subscribers, a readership of about 40,000 and a thriving reprint service. The magazine has come a long way since its debut as a mimeographed newsletter; today, an average issue is packed with 100 or more pages of information, and it has won praise from both funding sources and grant seekers for its accuracy and scope.

In Editor Tim Saasta's view, the *News* "has given the center a credibility and a status beyond that of just a training organization and has also given it a larger constituency." While it often focuses on the "bread-and-butter issues" of funding, the *News* also sets out to prove that grant making and grant seeking have their light side. Editor Saasta sees the magazine as a hybrid — wedding solid trade magazine information with large-circulation graphics and design. Basically, it reaches its audience through three types of articles: "how-to" reports, issue-oriented articles such as those on the Filer Commision, corporate philanthropy and the Ford Foundation, or a combination of the two approaches. Currently the *News* is planning a wide range of surveys and in-depth reports on some sensitive issues in the nonprofit field: analyses of federal funding, a report on the United Way, a case study of grants in the mental health field, budget guides, and a series of articles on voluntarism and lobbying.

In its efforts to improve the grants process, virtually every corner of the nonprofit sector and government policy is fair game for the Grantmanship Center's scrutiny. In an area where the issues are broad and the problems run deep, that's a lot of ground to cover. In a sense, it's a little like David taking on Goliath. But we all know how *that* story ends. fn

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RECORDS GRANT PROGRAM

Suggestions for Applicants

1978

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NHPRC RECORDS GRANT PROGRAM

Suggestions for Applicants*

I. Application Procedures

Read the basic records program pamphlet and these "Suggestions" carefully. If you have questions, call or write your State Historical Records Coordinator (listed in the basic pamphlet) or the Commission staff in Washington. We are here to assist you. Questions asked during proposal preparation lessen the need for the Commission to seek clarification or revision of the proposal at a later stage.

Proposals which will be processed through a State Historical Records Advisory Board should be discussed in advance with the State Coordinator. State Advisory Boards have priorities and preferred approaches which may influence the design of your project or your decision to submit a proposal. Some State Boards prefer to review an advance written draft of your proposal and have established their own deadlines to accomodate such review. For state proposals, ask your Coordinator how many copies of the proposal should be submitted and whether multiple copies are to be sent directly to the Commission's Washington office.

You should always submit one signed copy of the proposal to the Commission's office in Washington in advance of the established deadline for the meeting at which you wish to have your proposal considered. For regional and national projects, 15 copies of the proposal should be submitted to the Commission before the established deadlines. The Commission will normally consider a proposal at the first meeting for which it is eligible. In certain cases, however, consideration will be postponed because of delay in review by the State Advisory Board or other expert consultants. In order to consider large numbers of proposals, the Commission must establish application deadlines. While these are considered binding, we are willing to respond to emergency applications outside the normal review cycle. If there is a pressing need for immediate action the Commission and most State Advisory Boards are willing to cooperate, provided the applicant has obtained advance agreement, usually by telephone, from the State Coordinator and the Commission.

Please complete fully the two-page application cover sheet. Keep in mind that thirty or more individuals are likely to review your grant

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*This "Suggestions" sheet will normally be brought up to date annually. It is meant to supplement, not replace, the basic pamphlet on the records program.

application as part of the decision making process. Do not assume that all of these will have time to read your proposal in full, although most will do so. Submission of a cover sheet which merely refers the reader to the attached proposal prevents Commission members and Advisory Board members from having a brief and handy summary of your proposal at the time they must make their decision on funding. A concise cover sheet summarizing the main features of your proposal will serve your interests as well as those involved in the review process. A sample cover sheet and sample budget format are attached in Appendix D. Please note that these do not constitute a full proposal. Please remember also to submit the required civil rights compliance statement indicated in the basic pamphlet. Proposals will not be considered by the Commission without this statement.

II. Writing the Proposal

Proposal evaluation by the NHPRC involves careful attention to several basic proposal elements (see 1 through 5 below), consideration of the proposal against the priorities of the Commission and State Advisory Boards, and comparison of the proposal with others submitted to the Commission. Of particular interest is the value of the records to be treated (or, where applicable, the importance of the project as a model);the value of products of the project; the soundness of the plan of work and the techniques to be applied; the competence of the proposed staff for the particular activities to be undertaken; the appropriateness of the budget for the work to be accomplished; and the urgency of the project and the need for outside funding at this particular time. These matters must be fully and frankly discussed in each proposal. In doing so, the following should be considered:

1. Describing the Materials: Describe the volume, condition, and content of the records. When possible, use standard archival measurements such as cubic or linear feet or number of items. If you specify number of boxes, describe the type of box referred to. Description of the condition of the materials may include comment on past and present storage conditions; evidence of physical deterioration; type of paper or other medium; age; any previous preservation measures taken; and any evaluation made by a professional conservator. Description of records may be provided by noting particular subject areas; important individuals or types of correspondents; types of records prominent in the collection; and span and bulk dates of the records or particular segments of them. Selected information (such as headings for major series) from shelf lists, preliminary inventories, or other finding aids, or complete finding aids themselves, may be attached to the proposal and should be referenced in the text. In describing records, applicants should also note any known research interest in or patterns of prior use of the particular records, interest in and use of similar materials elsewhere, and the relation of the records to similar materials elsewhere. Comment on what additional

or enhanced use there will be if the project is carried out. Repositories applying for funds to accession or process collections should also describe the current acquisitions policy and activities of the institution and its ability to service collections acquired or processed through grant funds.

2. The Importance of the Project as a Model and the Value of the Products to be Produced (comment when these apply): Some projects, such as a pilot survey of municipal records in one city or area, or the development of an archival program in one diocese of a religious organization, have particular value as models which might be followed by others in similar situations. Where this is the case, applicants should describe how the project is to serve as a model, particularly how it will be brought to the attention of others during its execution and after it has been completed. Projects designed to produce handbooks, pamphlets, guides, standards, and similar products should describe how these are to be distributed.

3. Plan of Work, Techniques, and Personnel:

(a) General: Applicants should explain who is to do what, when, where and how. Adherence to generally accepted archival procedures, standards, and terminology, where these apply, is encouraged. Applicants who are unfamiliar with these may find useful the references listed in Appendix A.

(b) Plan of Work: The plan of work should indicate the stages by which the project is to be completed and a description of the work at each stage. A rough chart indicating activities during each month of the grant period is often useful in planning a project and in the review process.

(c) Techniques: In discussing techniques to be employed during the project, applicants should refer to previously used or standard approaches where these exist, especially with regard to the preparation of finding aids. Describe the planned level of analysis and description. Applicants should be aware that the Commission does not ordinarily support item indexing, subject indexing (at more than the series, box, or folder level), calendaring, translation, or similar processes when there are alternatives for making records available to researchers. Sample entries for surveys and guides and sample finding aids are useful, when such can be provided. A draft agenda and list of suggested participants is advisable for conferences and workshops, technical standards should be discussed for microfilm projects, and so on. Those reviewing the proposal should be able to understand from reading it how you are going to go about your work rather than having to assume that it will be carried out in a certain manner.

(d) Personnel: It should not be assumed that either a librarian or a historian is necessarily (or even ordinarily) qualified to undertake an archival project without special training or experience. There are certainly exceptions to this because of the unique nature of certain projects or where the proposal itself demonstrates that an applicant has developed a sound plan of work and is knowledgeable in the techniques to be applied. The project director, with rare exceptions, should be the person who actually directs the project and one who plays a major role in its design and execution. He or she should not be a figurehead or someone who merely looks in on the project on a very occasional basis. The roles of the project director and other personnel should be outlined in the proposal and their commitment should be indicated in the budget as to times and salary levels. Resumes should be provided for persons already selected to participate. The resumes should indicate how these persons are qualified by training or experience to carry out the work. Lengthy resumes reflecting activities not relating to historical records work are discouraged. Brief job descriptions are often a convenient way to indicate staff duties and are particularly helpful when individuals are to be hired only after the project is funded. Required qualifications and recruitment plans should be provided for all personnel.

4. Budget: The project budget should be given in detail and should indicate the basis for the sums indicated. It should be considered as a financial plan which, with a minimum of change, will be followed during the project, and not merely as a rough estimate of what might be needed. Applicants are advised to consult the sample budget in Appendix D. Although applicants may request funding for up to three years, the Commission presently prefers one- or two-year projects and, with any multi-year project, may choose to support only the first year, with further support contingent upon satisfactory progress and on the availability of funding. Budgets should thus be broken down by year.

5. The Need for Funding: Applicants should discuss, at least briefly, the circumstances which have led to a request for Commission funding. The statement should describe the financial status of the sponsoring agency or institution, attempts to secure support for the project from within the institution or from other sources, and leverage that NHPRC funding will provide to the applicant for a possible increase of support from within or without the applicant institution. The Commission is especially responsive to applicants who demonstrate that NHPRC grant funds can and will be used to increase the status and visibility -- and with those, financial support -- of the applicant's program. Requests for matching grants are encouraged by the Commission when the applicant has investigated securing non-Federal matching funds, even though a definite commitment has not yet been obtained. In these cases, a Commission "offer" of a matching grant may be made to remain in effect for a stated period of time while the applicant seeks non-Federal matching sources. Also attractive to the Commission are proposals which indicate that, after Commission funding ends, project personnel or project activities will be supported by the applicant or some other non-Federal source.

On multi-year proposals, applicants should consider specifying a gradual increase of non-Federal funds and a gradual decrease in Federal funding. Such proposals are more likely to receive Commission support than other multi-year proposals.

6. Evaluation: Applicants should explain the criteria for judging relative success of the project. Describe who will do this and how it will be done. Not all projects will accomplish all intended goals, and the Commission, applicants, and others can learn from failures as well as successes. We thus encourage frank discussion when projects encounter difficulties or fail to achieve their goals.

7. A Final Note: It is well to assume that all that some reviewers will know about your institution and your program is what you tell them in your written proposal. While emphasizing the importance of a careful summary of your project on the two-page cover sheet and conciseness throughout the full proposal, the Commission does not prefer brevity at the expense of being able to fully understand your project.

III. Preferred Approaches and Types of Proposals

The records grant program supports a wide variety of proposals relating to the preservation and use of historical records. Preference will always be given to proposals which seek to salvage important records which might otherwise be destroyed, and the Commission has a strong commitment to cooperative approaches whereby institutions join together to accomplish what none can effectively undertake alone. The Commission has asked each of the State Historical Records Advisory Boards to designate priority areas and to specify preferred approaches to problems within the State. Periodically, the Commission itself may alert applicants (see Appendix B) when the Commission does not feel that applicants are fully aware of its receptivity to or special interest in certain types of proposals. The Commission's Statement of National Needs for Historical Records (Appendix C) may also provide useful guidance to applicants regarding the Commission's concept of major areas of need and preferred approaches to problems, although the Statement was not issued to apply exclusively to the NHPRC's records grant program. Applicants should be aware that because certain proposals have been funded in the past does not mean that similar projects will be supported in the future. The Commission can provide support only in response to proposals on hand; these do not always address areas of highest priority.

IV. Other Suggestions and Information

This section covers areas which are frequently the subject of questions to State Coordinators and Commission staff.

1. Application Deadlines: At this time there are three established deadlines each year for submission of applications to State Coordinators and the Commission. These are February 1, for the May or June Commission meeting; June 1, for the October or November Commission meeting; and October 1, for the February or March Commission meeting. Meeting dates are subject to change. State Advisory Boards normally have two months following application deadlines during which to review proposals and submit recommendations to the Commission.

2. Grant Period: It is wise to allow a minimum of two months between the date of the Commission meeting during which you expect your proposal to be considered and the beginning of the grant period. This is the approximate time required to issue a grant letter and a check. If recruitment of personnel is anticipated, as is often the case, you should allow time for a careful and broad recruitment effort. The Commission is flexible about modification of beginning and ending dates of grant periods, and applicants may request modification of these when notified of approval of a proposal or, at a later time, when circumstances require.

3. Cost Sharing*: The records program has no unalterable requirement regarding cost sharing, although the maximum possible cost sharing is advisable. Projects to process materials which have been actively sought by a repository are normally expected to include considerable cost sharing in the budget. Projects in which the applicant is undertaking an activity apart from its "normal" range of work (for examples, a survey project where the results are to be shared with others, or sponsorship of workshops, or a "model" project or one designed to improve the state of the art) may not warrant such substantial cost sharing. The same may be so for projects by professional and similar organizations undertaking a service function to its members or, especially, in the broader public interest. As in other areas, the Commission tries to be flexible and encourages frank discussion of the applicant's financial situation.

4. Size of Budget Requests: Applicants often seek advice in advance as to the size of the grant they should request. This is an impossible question to answer. For Fiscal Year 1978, which began on October 1, 1977, $1.3 million is available for the records grant program. This is in comparison to $1 million in FY 77. During FY 77 the average grant awarded was approximately $16,000, though many grants for projects with higher budgets were supported. The largest grant was for $98,000 for a one year period, but the Commission is supporting a multi-year project totaling considerably more than $100,000. Many small grants between

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*Note: Cost sharing, which represents cash and in-kind contributions by the applicant, should not be confused with "matching" which represents cash contributions from a source other than the applicant. The proposal narrative and budget should indicate clearly the source of all contributions to the project.

$1,500 and $5,000 have also been recommended. Where practical, budgets should present options to the Commission in the length of the grant period and by separating costs for certain project activities. The Commission sometimes chooses not to support some activities but to support others requested within one grant proposal.

5. Support for Publication Costs: The Commission will consider requests for publication costs (manufacturing as well as preparation) when widespread distribution is of obvious importance. The Commission prefers modest rather than elaborate publications. Where manufacturing costs are requested and provided, publications should be sold at a price which includes only distribution costs. With any publication supported by grant funds, the publication should be sold at the lowest possible price. The projected price should be estimated in the grant application and plans for distribution should be outlined. The Commission may support preparation of a modest number of copies of finding aids and similar materials to be distributed free of charge to those most in need of them.

6. Oral History: The Commission does not support oral history interviewing or transcribing. It will consider proposals for the preservation, description, and dissemination of tapes and transcripts, though these are not considered high priority areas at this time.

7. Newspapers and Rare Books: The Commission does not support projects relating to newspapers or rare books.

8. Records Management: Although the Commission does not support outright records management projects, it will consider support for archival projects which include attention to overall records programs. For example, the Commission has funded a number of projects which include the development, improvement, and dissemination of retention schedules so that records which have archival value will not be discarded. The Commission has also supported surveys, appraisal studies, training, and other projects to develop manuals, guidelines, or written evaluations as ways to influence the behavior of non-archivists who have custody of records of archival value. In short, the Commission is willing to consider projects which include records management activities as one part of a broader historical records approach.

9. Surveys of Records in Repositories: The Commission is reluctant to support subject oriented survey projects of records already in repositories. The Commission prefers to support more comprehensive statewide, inter- or intra-state surveys. Applicants interested in such projects should consult with the Commission staff, which is developing an automated National data base with affiliated data gathering and guide producing projects throughout the nation.

10. NUCMC: The NHPRC is strongly supportive of the National Union Catalog of Manuscript Collections of the Library of Congress, and expects that collections processed through records grant funds will, when appropriate, be reported to NUCMC upon completion of the project.

11. Equipment, Construction, Renovation, and Space Rental: Records grant funds are not ordinarily provided for the purchase of equipment, for renovation or construction of buildings; or for rental of space. Funds may be provided for rental or lease of equipment such as microfilm cameras and word processing devices. Purchase of equipment may be supported when it is for a cooperative project in which it will be shared with a number of users during and after the project. Equipment purchase, rental, and renovation may also be included in a grant budget when supported from non-Federal matching funds if the items are essential to the success of the particular grant project.

12. Photographic and Tape Records: Projects to preserve and make available sound recordings, film, photograph prints and negatives, and video tape are eligible for records program support. Applications for preservation and processing these materials should carefully discuss the historical value of the materials, as with paper records. Requests for preservation activities should discuss the degree of deterioration of the materials and outline what remedies are to be undertaken. Evidence should be provided that careful appraisal of the materials has been undertaken or will be undertaken to determine those which should be retained and those which do not have permanent value or deserve preservation treatment. It should not be assumed that all photographs on glass based negatives deserve retention or that all nitrate based film is necessarily worth saving by transfer to safety based film. The criteria for retention of these materials and audio recordings should be described.

13. Acquisitions: The Commission does not provide funds for the purchase of manuscripts or other historical records, though funds may be requested for the physical transfer of records to an appropriate repository.

14. Microform Projects: The records grant program supports a variety of microform projects where the goal is preservation of deteriorating or heavily used documents with substantive research content or wider distribution (as through sale of microfilm) of such documents. Records program microform projects ordinarily film entire collections or groups of records, often those within one institution or one type of institution in an area. Projects which involve gathering and selection of documents in many locations relating to a person, event, or topic are usually submitted to the publications grant program. The NHPRC issues microform guidelines which apply to the records program as well as to the publications program. These guidelines should be requested by applicants requesting support for microform activities. Exceptions to these guidelines are considered where the applicant can demonstrate that they are inappropriate. For all microform projects, applicants should specify the technical standards to be followed regarding equipment, filming,

processing, quality control, storage of the film master, and distribution copies of the film. If filming is to be done by the applicant, discuss previous experience with microfilm projects or describe plans to involve qualified staff. If microform work is to be contracted out, describe how the contractor has been or is to be selected, qualifications for the task, and the terms of the contract, especially technical standards and quality control. All microfilm projects should describe the finding aid to be prepared or the adaptation of an existing finding aid for use of the film. The Commission gives preference to microform projects where the applicant agrees to make a copy of the film available through loan and through reproduction.

15. Consultants, Training, Feasibility Studies: The Commission is willing to support limited training, such as attendance at an archival workshop, for appropriate project personnel. Proposals may request the use of consultants during a project, and applications are also accepted for projects which consist solely of a consultant to assist an applicant who has custody of valuable records but is not able to care for them adequately without expert advice. The Commission also considers projects which investigate the feasibility of a particular technique which might be applied if study or tests indicate its soundness.

16. Access to Records Processed: Processing of collections to which access is restricted to any significant degree will not ordinarily be supported and, where restrictions are involved, they should be discussed in the proposal. The guidelines on "Access to original research materials in libraries, archives, and manuscript repositories" endorsed by the Society of American Archivists and the Association of College and Research Libraries express the NHPRC's views on access to historical records.

17. Preservation Projects: Although the records grant program supports projects which include funds for acid neutral containers for records, and for fumigation, deacidification, and other mass treatments of records, applicants should note that the emphasis of the records program is on the preservation of the information in historical records rather than the preservation of the records in their original form because of their artifact value. The records program, with some exceptions, prefers not to support expensive document restoration where there are alternative means to preserve information of historical interest.

V. Conclusion

Above all prospective applicants should understand that the records grant program was created to serve the needs of the community. Its goal continues to be just that. As a result, our watchwords are responsiveness and flexibility insofar as legislative constraints, staff, and funding limitations allow. If you have a project about whose eligibility or competitiveness you are unsure, or if you have any other questions about

the grant process, please contact the records program staff or your State Historical Records Coordinator. The addresses of the Coordinators are listed in the back of the basic pamphlet on applications and grants. The address of the records program is: Records Program, NHPRC, National Archives, Washington, D.C. 20408. Phone: (202) 724-1616.

APPENDIX A: REFERENCE BIBLIOGRAPHY

The following list of publications may be especially useful to applicants who are not experienced archivists:

1. "A Basic Glossary for Archivists, Manuscript Curators, and Records Managers." Available from the SAA.* $2. Also published in The American Archivist, Vol. 37, No. 3, July 1974.

2. "Inventories and Registers: A Handbook of Techniques and Examples." This handbook distills the essence of current practice in North American archival and manuscript repositories. Available from the SAA.* $2 for members, $4 for others.

3. "Archives and Manuscripts: Surveys," by John Fleckner. Available from the SAA.* $3 for members, $4 for others.

4. "Archives and Manuscripts: Appraisal and Accessioning," by Maynard Britchford. Available from the SAA.* $3 for members, $4 for others.

5. "Archives and Manuscripts: Arrangement and Description," by David Gracy. Available from the SAA.* $3 for members, $4 for others.

6. "Archives and Manuscripts: Reference and Access," by Sue Holbert. Available from the SAA.* $3 for members, $4 for others.

7. "A Guide to the Care and Administration of Manuscripts," by Lucile Kane. 2nd edition. Available from the AASLH.** $2.25 for AASLH members, $3 for others.

8. "Microfilming Historical Records: An Introduction," by Bruce Dearstyne. An AASLH technical leaflet (#96) available for 50¢ from the AASLH.** Also published in History News, Vol. 32, No. 6, June 1977. Contains suggestions for further reading.

9. Collection, Use, and Care of Historical Photographs, by Robert Weinstein and Larry Booth. Available from the AASLH.**

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*The SAA (Society of American Archivists) is headquartered in Chicago (The Library, P.O. Box 8198, University of Illinois at Chicago Circle, Chicago, IL 60680. Phone 312 996-3370). Applicants may wish to write to the SAA for a free list of publications available.

**The AASLH (American Association for State and Local History) is located in Nashville (1315 8th Avenue South, Nashville, TN 37203. Phone 615 242-5583). Applicants may wish to write for a free list of publications available.

10. "Forms Manual." Contains over 300 representative forms used in records management, appraisal, inventory and description, collecting policies and procedures, accessioning, arrangement, description, reference and research services, reproduction, oral history, and statistical reports. Available from the SAA.* $5 for members, $8 for others.

11. Entire special issue (January, 1975) of Drexel Library Quarterly devoted to "Management of Archives and Manuscript Collections for Librarians." Includes a section on terminology and bibliography.

APPENDIX B: PROPOSALS INVITED (1978)

The National Historical Publications and Records Commission supports a wide variety of grant proposals for the preservation and improved use of historical records. The Commission will continue to give highest priority to proposals which promise to salvage endangered records of high research value, and the Commission is especially responsive to proposals recommended highly by its network of State Historical Records Advisory Boards. At this time, the Commission particularly invites proposals for grant projects having one or more of the following goals:

1. The training of document conservators and development of document conservation centers staffed by trained conservators.

2. The development, by repositories, of in-house capability for basic conservation work.

3. The development of archival programs, linked to sound records management programs, which may serve as models for similar institutions, particularly the following types: hospitals; religious organizations at the national, regional, and diocesan levels; colleges and universities; and voluntary, trade, labor, professional, cultural, and other nonprofit organizations.

4. The surveying, publication of survey reports, and accessioning of records of high potential research value not already in archival repositories. Records of particular interest include those of institutions listed in number 3 above, and especially those documenting non-government organizations which may exist for relatively short periods of time such as especially innovative or controversial social, economic, and political organizations; records which document the activities of the "out groups" in American society, and the records of influential groups and institutions which have not encouraged or been subject to detailed research and analysis based on primary research materials.

5. Statewide and regional (rather than subject) survey-guide projects for historical records in repositories.

6. Statewide approaches to county records programs.

7. Model municipal records programs in each state.

8. The development of workshops and basic training and educational aids for nonprofessional custodians of historical records.

9. The development of archival appraisal standards for all types of historical records but especially for the records of institutions which play a major role in American life.

10. Projects undertaken by professional archival associations to develop policies, standards, techniques and tools toward solution of the major problems identified by these groups.

APPENDIX C

Historical Records in the United States: A Statement of National Needs by the National Historical Publications and Records Commission

In carrying out its historical records program the National Historical Publications and Records Commission is charged to make "plans, estimates, and recommendations" regarding the preservation and use of historical records that may be important for an understanding and appreciation of the history of the United States. The Commission has, therefore, adopted a "Statement of National Needs," and encourages a greater effort at all levels of government and by private organizations to support efforts to meet these needs. In adopting the Statement, the Commission has also recommended several approaches to meeting these needs.

The categories in the Statement are not ranked and are not meant to indicate the NHPRC's preferences regarding grant applications. The Commission issues a separate statement regarding grant proposals it particularly invites, and each State Historical Records Advisory Board indicates its own priorities and preferred approaches for "state" proposals.

Categories of Need and Preferred Approaches

1. NEED: Programs to ensure the preservation of historical records.

   PREFERRED APPROACHES:

   (a) Cooperative programs including state, regional, or other area-wide approaches whereby proficiency and equipment are made available to records repositories that need them.

   (b) Programs which place the highest value on the informational content, rather than the artifact value, of historical records.

   (c) Microform programs which combine goals of space saving, security, and wider availability with preservation of information in records.

2. NEED: Surveys of records not in archival repositories.

PREFERRED APPROACHES:

(a) Programs combining the identification, appraisal, and appropriate accessioning of materials of historical value into adequately equipped repositories.

(b) Programs which include the education of records custodians who are not trained archivists as part of the survey effort and which bring records program needs to the attention of those who can influence their condition and access to them.

(c) Programs which, when possible, provide for future updating of survey data.

3. NEED: Guides to historical records in repositories in the United States.

PREFERRED APPROACHES:

(a) First attention to guides at the collection/record group level rather than more detailed levels of description.

(b) Cooperative programs which make information available to the maximum number of users in the most inexpensive and accessible form.

(c) Information gathering and recording projects compatible with the automated national data base under development by the Commission.

(d) Submission of appropriate information to the National Union Catalog of Manuscript Collections.

4. NEED: The education and training of archivists, records custodians, and historical agency administrators in the administration of historical records programs.

PREFERRED APPROACHES:

(a) Programs to improve the knowledge of those who are not professional archivists but who administer historical records or the repositories in which they have been deposited.

(b) Programs which will increase the concern and understanding of organizations which create records of long range value.

(c) Programs to increase the skills of professional archivists, especially in developing expanded records programs.

(d) Programs for training of beginning archivists by qualified instructors.

5. NEED: Arrangement, description, and archival processing of historical records.

PREFERRED APPROACHES:

(a) Programs which give first attention to processing of materials not now accessible to research.

(b) Programs which emphasize basic rather than more detailed archival controls and processes.

6. NEED: The development or improvement of system-wide records programs for state and local governments and for private records-creating organizations.

PREFERRED APPROACHES:

(a) Systematic records management programs, especially the development of retention schedules, linked to ongoing archival programs.

(b) Model programs which may be adopted system-wide or by comparable units.

7. NEED: Improved techniques and tools in all major areas of need.

PREFERRED APPROACHES:

Research, testing, and demonstration programs which provide the maximum sharing of reports, plans, evaluations, standard forms and similar products with others who may find them useful.

For further information contact NHPRC, National Archives and Records Service, Washington, DC 20408; telephone 202-724-1616.

APPENDIX D: SAMPLE BUDGET AND COVER SHEET

NATIONAL HISTORICAL PUBLICATIONS AND RECORDS COMMISSION
National Archives Building
Washington, DC 20408

Phone: (202)724-1616

RECORDS PROGRAM
GRANT APPLICATION COVER SHEET

Date Received by Commission

Commission Log Number

1. Institution or Organization Applying (Name, address):
Widget Historical Society
1787 Lewes Avenue
Widget, MD 20000

2. Project Director (Name, title, address, phone number):
Jethro Whitney, Manuscript Curator
Widget Historical Society
(address above) 800-711-1111

3. Authorizing Official (Name, title, address):
Aloysius R. Flagg, Exec. Dir.
Widget Historical Society
(address above)

4. Payee (Name, title, address):
James E. Lee, Treasurer
Widget Historical Society
1787 Lewes Ave., Widget, MD 20000

5. Budget

A. Outright grant (NHPRC)	$ 10,085
*B. Matching grant (NHPRC)	$ 7,000
C. Total from NHPRC (A+B)	$ 17,085
*D. Matching (Other Donor)	$ 7,000
E. Cost Sharing	$ 21,475
F. Total project budget (C+D+E)	$ 45,560

*If matching funds are requested, D must equal B.

6. Dates of Requested Grant Period:
August 1, 1978-July 31, 1979

7. Other Government Agencies Considering Request:
None
Non-Government:
Private Foundation

8. Grant Purpose
___Survey & Accessioning
___Preservation & Reproduction
x Records Use Project
___Archival Techniques Project
___Feasibility Project

9. Applicant Category:
x State Institutional Project
___State Cooperative Project
___Regional Project
___National Project

10. Project Title: Arrangement and Description of the Records of Ludd & Sons, 1794-1850

11. Project Summary

Purpose To make available for research approximately 200 cubic feet of recently accessioned records of Ludd & Sons, an important Baltimore factoring and shipping firm of the Federal and Ante-bellum periods, by arranging the records, and preparing shelf lists and an in-house guide for research use.

Significance Ludd & Sons was established in 1794 and, by 1810, was one of the principal mercantile houses in Baltimore, selling goods on consignment from Great Britain, France, and Holland. The firm began to develop a shipping fleet in the 1820's which soon became the largest of the Baltimore clipper fleets. Virtually complete for the entire existence of the firm (1794-1850), these records constitute one of the most important collections of records relative to the Baltimore clipper trade extant. See page of full proposal for more complete description.

Goals (Intended Product) Our short run goals are to make available for the first time approximately 200 cubic feet of important business records by arranging them, preparing an in-house guide for research, and a description of the records for the National Union Catalog of Manuscript Collections. For the long run, we intend to use this project to increase interest in

and financial support for our collections program from the business community and to encourage the acquisition of additional collections relating to business and economic history.

Plan of Work (including references to techniques) Under the supervision of the project director, the archivist will survey the records to determine provenance, arrange them and, assisted by the archives technician, place the records in acid-free folders and boxes, prepare shelf lists and an in-house series guide with appropriate introduction and scope and content notes. The project archivist will also prepare a description of the collection for the National Union Catalog of Manuscripts Collections. Typing assistance will be provided by the clerk-typist. See full proposal for more complete description of plan of work (p.), month-by-month work chart (p.), sample guide entry (p.), and discussion of arrangement problems, etc.

Key Personnel

Project Director (Jethro Whitney); see full proposal (p.) for project responsibilities and vita.

Archivist (to be hired); see full proposal (p.)for job description, qualifications requirements, recruitment plans.

Archives Technician (to be hired); see full proposal (p.) for job description and qualification requirements

Budget Summary

	NHPRC	Matching	Cost-sharing	Total
Salaries	$15,000	$ 6,000	$ 7,500	$28,500
Fringe benefits	1,500	600	750	2,850
Supplies	585			585
Equipment		400	400	800
Indirect costs (45% of slaries and wages-HEW)			12,825	12,825
TOTAL	$17,085	$ 7,000	$21,475	$45,560

Requested of NHPRC

Outright	$10,085
Matching	7,000
Total	$17,085

See page for detailed budget.

To the best of my knowledge and belief, data in this application is true and correct, the document has been duly authorized by the governing body of the applicant, and the applicant will comply with all procedures and regulations of the Commission if the assistance is approved.

12. Signature of Person in #3. above: Wayne R Kegg

Date: 1/9/75

(B.) SAMPLE BUDGET

	NHPRC Grant	Non-Federal Matching Funds	Cost-Sharing	Totals
Salaries				
Project Director (20% time - annual salary $15,000)			3,000	3,000
Archivist (100% time - annual salary $12,000)	6,000	6,000		12,000
Archives Technician (100% time - annual salary $9,000)	9,000			9,000
Clerk-typist (60% time - annual salary $7,500)			4,500	4,500
Sub-Total	$15,000	$ 6,000	$ 7,500	$28,500
Fringe Benefits				
Project Director (10% of salary)			300	300
Archivist (10% of salary)	600	600		1,200
Archives Technicain (10% of salary)	900			900
Clerk-typist (10% of salary)			450	450
Sub-Total	$ 1,500	$ 600	$ 750	$ 2,850
Supplies				
Archives Boxes (600 @ .50)	300			300
Acid free folders (3,000 @ $70 per m)	210			210
Miscellaneous supplies (paper, pencils, typewriter ribbons, erasers)	75			75
Sub-Total	$ 585			$ 585
Equipment				
*Shelving (20 units @ $30)		400	200	600
*Electric typewriter			200	200
Sub-Total		$ 400	$ 400	$ 800
+Indirect costs				
45% of salaries and wages-negotiated with H.E.W.			12,825	12,825
Grand Total	$17,085	$ 7,000	$21,475	$45,560

Requested of NHPRC:

$10,085	(Outright)
7,000	(Match)
$17,085	Total

*Permanent equipment not normally considered eligible for Commission funding (Exceptions may be considered in the case of cooperative projects)

+The Commission does not usually provide funds for indirect costs which may be assumed by applicant as part of its cost-sharing or paid from matching funds. However, no indirect costs should be included in budget at all unless based on rate negotiated with and approved by a Federal Agency.

041

Explanation of how budget figures were determined

I. Estimated time to complete project: 1 year

II. Estimated personnel needs (includes time to be spent on project):

1. Project Director (existing full-time employee) 20% of time

2. Archivist (to be hired) 100% of time

3. Archives Technician (to be hired) 100% of time

4. Clerk-typist (existing full-time employee) 60% of time

III. Estimated supplies and equipment needs:

1. Supplies

a. Archives boxes (600 @ 50¢ ea.)
b. Acid-free folders (3,000 @ $70 per 1,000)
c. Miscellaneous supplies such as acid-free typing paper, copper staples, pencils, typewriter ribbons ($75)

2. Equipment

a. New shelving needed to accomodate accessions (20 units at $30 ea.)

b. Electric typewriter ($200)

IV. Applicant has promise of $7,000 for project from a non-Federal source (in this case, a private foundation).

V. Applicant allocates non-Federal matching funds as follows:

One-half of the salary ($6,000) and one-half of the fringe benefits ($600) of the archivist to be hired, and the remainder ($400) of the non-Federal funds to pay for a portion of the shelving cost.

VI. Since the permanent equipment requested is not normally eligible for Commission funds, the applicant assumes the balance of the sheving cost and the cost of the typewriter.

VII. Since the Commission does not ordinarily provide funds for indirect costs, the applicant assumes the balance of the shelving cost and the cost of the typewriter.

VIII. Applicant's request to the Commission will, then, be for a grant to pay for:

1. One-half of the archivist's salary and fringe benefits ($6,000 + $600)

2. 100% of archives technician's salary and fringe benefits ($9,000 + $900)

3. 100% of cost of supplies needed

   a. Boxes ($300)
   b. Folders ($210)
   c. Miscellaneous ($75)

   } $585

Total amount requested of the Commission is $17,085, of which $7,000 can be requested as a matching grant (to match the $7,000 from the non-Federal source) and the balance ($10,085) as an outright grant.

Note:

The attached sample is for a one-year project. For multi-year projects, a budget should be prepared for each year.

We urge you to keep the following points in mind:

1. This sample is not intended to reflect acceptable levels for project descriptions, to imply that the Commission is interested in a particular type of project, or to suggest that this is a required format. It is meant to serve as an aid in preparing your proposal, especially in the completion of the application cover sheet and in the preparation of a project budget.

2. The application cover sheet is not designed to take the place of a full proposal, but rather is the vehicle through which the applicant is to provide a concise synopsis of what follows in the full proposal to which the cover sheet is to be attached.

PROGRAM AND JOB DESCRIPTIONS

Northwestern University
Duke University

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NORTHWESTERN UNIVERSITY
August 1978

Special Assistant for Development : Job Description

Reports to: Assistant University Librarian for Development

Job function:

Plans, implements, and evaluates the overall operation of the Library Council.

Characteristic duties and responsibilities for the Library Council:

1. Has full responsibility for exterior newsletter.
2. Plans agenda for and attends meetings of Library Council Executive Board where broad planning is done and policies are set.
3. Has supervisorial role in maintaining logistical and administrative overview of Council programs and activities and determines task priorities pertaining to Council activities.
4. Sets up meetings, plans agendas, writes minutes and issues reports of Executive Board meetings and subcommittee meetings.
5. Prepares and maintains Council membership files and has responsibility for routine and non-routine contact with membership at large.
6. Supervises Council annual programs by arranging for printing and mailing of invitations; by making all logistical arrangements; by selecting and negotiating with food services for all necessary facilities and services including selection of menu; by arranging for advance publicity, photography of programs and follow-up contact with speakers and others connected with each program as necessary for payment of fees, reimbursement of expenses, thank-you letters, etc. Also maintains contact with campus service organization for volunteer ushering, etc.
7. Suggests projects and prepares data and reports for presentation to the Assistant University Librarian for Development, University Librarian and Council Executive Board.
8. Acts as communications liaison between the University Library and the Council and with the Executive Board and acts as liaison between the library and University Development office in Council-related matters.
9. Plans and executes the annual membership drive.
10. Requisitions payment of Council-related bills.
11. Initiates correspondence.

Other: Handles some social functions for University librarian and Development Division

Northwestern
University Library
Evanston,
Illinois 60201

Northwestern University Library
External Fund Raising Activity Report

May 1, 1975 to August 31, 1978

Following is a line summary of funds and gifts received by the Library resulting from fund raising programs and grant proposals. The amounts shown represent income which is additional to the budgeted funds received from the University.

International sources

	Name of Grantor	Purpose	Period of Coverage	Total Amount
1.	Foundation for the Recovery of Venezuelan Written Heritage	Comprehensive, computerized bibliographic record.	2 1/2yrs. 1976 - 79	$1,400,000
2.	Japan Foundation	Japanese Instruction - English materials	3 years 1975-78	$ 37,000
3.	United Nations	Computer data base SDI Searches	1 year pilot 1978 - 79	cost recovery plus service charge (est. at $1,000)

U.S. Government Sources

	Name of Grantor	Purpose	Period of Coverage	Total Amount
4.	National Endowment for the Humanities	Computerized Africana Data Base (with the Library of Congress)	2 years 1977 - 79	$127,445

5.	N.E.H. /Council on Library Resources	Scholar Librarian Program	4 years 1977-81	$78,000
6.	Office of Education	Title IIa grants	annual: 1975 1976 1977	$ 3,800 $ 5,000 $ 5,000
7.	Dept. of Transportation		3 years	$30,125

Private Foundations

	Name of Grantor	Purpose	Period of Coverage	Total Amount
8.	Carnegie Corporation	Matching portion for NEH Africana Grant (cf.4. above)	one year 1977	$74,437
9.	Lurie Fund	Library Book Fund	indefinite 1977 -	$75,000
10.	Blum-Kovler Foundation	Library Book Fund	annual: 1975 1976 1977	$ 500. $ 500. $ 600.
11.	Field Foundation	Shaffner Core Library	2 years 1978 - 79	$25,000

Individual Donors

	Name of Grantor	Purpose	Period of Coverage	Total Amount
12.	Donor A.	Endowed memorial book fund	perpetual 1976	$58,700.
13.	Donor B.	Library Book fund (history)	1977 1978	$ 2,000 $ 1,000
14.	Miscellaneous and anonymous		1977 - 78	$ 865.

Group donors

	Name	Purpose	Period of Coverage	Total Amount
15.	University Circle	Library Book Fund	1976 1977	$1,800 $2,000

Library Council

	Name	Purpose	Period of Coverage	Total Amount
16.	Anonymous	Membership Matching grant	1977 -	$1,300.
17.	Memberships	Annual dues for library book fund	1975 -	$5,600.

Gifts in kind

	Name	Description	Date of Gift	Estimated value
18.	Bell and Howell	Microform	1977	$50,000
19.	Book Donor A		1975-78	$ 4,000
20.	Miscellaneous Book Donors		1975-78	$10,200
			Totals	$2,000,872

Duke University
Durham
North Carolina 27706

William R. Perkins Library

August 24, 1978

Like most other university libraries, Duke is struggling with increasingly restrictive budgets; and because of the decreasing likelihood that the University will be able to fulfill all our future needs, it seemed apparent that funds from other sources would have to be sought to supplement appropriated funds. In 1976 and 1977 several grant applications, written by the project directors, were filed with different funding agencies. Although we were not completely successful, the results were sufficiently good to indicate that greater effort should be directed toward seeking outside funding. In 1978, one staff member was assigned to grant writing on a half-time basis (at times it was more than that). He attended a one-week workshop on grant writing sponsored by The Grantmanship Center. In writing grants, technical information and other assistance is received from appropriate personnel.

During this period, we have received over $600,000 and anticipate a favorable response shortly on applications amounting to approximately $150,000. Needless to say, the results more than justify the time and effort spent.

(Mrs.) Connie Dunlap
University Librarian

CD/djs

Duke University
Durham
North Carolina 27706

William R. Perkins Library

September 12, 1978

In terms of library-staff members who have fund raising responsibilities, since early 1978 a staff member has been assigned to grant proposal writing on a half-time basis. I am now that person (as of September 1). There is no full-fledged job description yet, but you will find a copy of the flyer advertising the position enclosed. I have also enclosed a job description for the half-time non-professional position of Administrative Assistant to the University Librarian for the Friends. While fund raising is not an explicit duty, it is certainly an implicit responsibility in such a position.

There are, of course, several other staff members whose positions implicitly include the cultivation of potential donors. The University Librarian, the Curator of Manuscripts, the Curator of Rare Books (who also serves as Secretary to the Friends), the Director of the Flowers Collection (Southern Americana) and the Associate University Librarian for Collection Development come most immediately to mind, and I'm sure that there are others.

So much for Library Staff. Duke also has a Development Office with a full time staff of eighteen. Through its activities, this office provides one-third of the University's operating budget. Several key people in that office are acutely aware of the Library's needs, and are in frequent contact with Library Staff.

To approach the subject-external fund-raising--from another angle, Duke has a fair number of endowment funds (see enclosed list) which supplement the "book budget" monies appropriated by the University. Through the years the initial step in creating most of these endowments was taken by an individual

who sought out a member of the staff and expressed an interest in "doing something for the library". As you can imagine, the process of developing a "something" into an endowment requires diplomacy and a certain talent for such matters. Duke is lucky to have staff with abundent supplies of both.

A final source of outside funds. Each year the library has a duplicate book sale which is widely advertised on campus and is very popular.

Serena Burke
Assistant to the University Librarian
for Special Projects and Grants

Duke University
Durham
North Carolina 27706

William R. Perkins Library

POSITION: Assistant to the University Librarian for Special Projects and Grants

DUTIES: Under the general direction of the University Librarian, works on a broad range of special projects; participates in a variety of administrative studies relating to the planning and development of future library programs; gathers, compiles, and analyzes data; and writes reports. Edits a one-page bi-weekly administrative newsletter and spends about one-half time on grant application writing. In the performance of these duties, has frequent contact with staff of library departments and other campus offices.

QUALIFICATIONS: AMLS, varied experience (preferably in a large academic library) which demonstrates the ability to gather, organize, and analyze data and write reports. Clarity of expression and good writing style of great importance. Background in statistics and systems analysis highly desirable.

Job Description - Administrative Assistant for The Friends of the Library

1. Keep an accurate record of gifts to the Library by donors. As new donors qualify, add each to Friends list. Insure that each donor receives an appropriate thank you.

2. Make preparations for Executive Committee meetings including notices, minutes and refreshments.

3. Organize any appropriate reception to open an exhibit or to honor a Friend or Friends.

4. Make all arrangements for the Annual Dinner Meeting of The Friends following suggestions of the Executive Committee.

5. Organize the publication of Marginal Notes, Library Notes and other publications which appear under the name of The Friends.

6. Coordinate the volunteer program.

7. Keep records of appropriated funds for Friends activities.

8. Handle correspondence directed to The Friends

9. Annually, usually in May, mail notices to Friends reminding them that contributions to the library are needed.

10. Cooperate with the University Librarian in any activity which will promote better public relations for The Friends.

EXAMPLES OF FUND RAISING PRESENTATIONS

University of Pennsylvania
University of Chicago
Harvard University
Yale University
Prineton University

UNIVERSITY OF PENNSYLVANIA

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THE CHALLENGE TO THE LIBRARY

052

053

PROGRAM FOR THE EIGHTIES

To serve its students and society with continuing distinction, the University of Pennsylvania has embarked on a Program for the Eighties, calling for $255 million in gift support over five years. This program has as its broad aims:

•To develop Pennsylvania's academic strengths to their full promise—reaching for pre-eminence in those fields where it is attainable, and achieving a high level of quality throughout.

• To place the University's operations on a stronger, more durable financial basis.

• To erase artificial boundaries among fields of study and between undergraduate and graduate education; to draw together in new combinations the University's diverse talents and programs—to the end that Pennsylvania might function not as a federation of schools, but as "one university."

One of the specific goals of Pennsylvania's development program is described on the following pages: *to undergird the excellence of the University Library system.*

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054

A GREAT LIBRARY'S CALL FOR HELP

The English writer, Augustine Birrell (1850-1933), once observed that "libraries are not made, they grow." He might have added that like most growing things, how well they fare depends on the nourishment they get. For to remain viable, a good library must be continually adding to and enhancing its collections. Only a constant stream of new books and journals flowing into and through its system can keep a library healthy.

The academic world has long drawn a parallel between a university's intellectual climate and the vitality of its libraries. The most gifted new students and prospective faculty members invariably want to know what caliber of library awaits them.

For many years, through judicious planning and careful evaluation of its needs, the University of Pennsylvania has managed to withstand a combination of forces that have been working against the well-being of university libraries. This Library's special and general collections are among the finest in the country, and its services to its users are excellent. Unfortunately, these days the University Library has to work twice as hard just to stay where it is. Book and journal prices have shot up so rapidly since the early seventies that the Library can afford to buy only about half the materials it needs to keep pace with the research needs of its faculty and graduate students.

College and university libraries are commonly ranked by their *size* in numbers of books, periodicals and microforms and by their *capacity* to acquire rapidly proliferating new information. By these quantitative criteria, Pennsylvania's Library is the nation's eighteenth largest, a slight gain from its position as nineteenth in 1970.

But ideas are subjective and the interests of the academic community are selective and variable; so the ultimate test of a university library is not its gross rank, but whether or not it can provide the scholar with the particular materials he needs when he needs them. It is here we are in danger of falling behind.

Yet at Pennsylvania the Library has in some ways turned the need for austerity into a new source of strength—as by maximizing its use of available computer technology to streamline operations, eliminate duplication, and form links with other library systems here and abroad. It is a leaner and stronger library in many respects. Still it is urgently in need of vastly increased book funds to remain capable of serving the teaching and research missions of a national university. By the end of this decade, the University Library will require a significantly stronger base of support to put enough new books and journals on its shelves to meet the complex needs of its large body of users.

In these pages, the strengths and shortcomings of Pennsylvania's library system will be described side-by-side with some proposals for preserving and sustaining this vital resource of University life.

Pennsylvania's library had the benefit of an early start. The original volumes purchased by Benjamin Franklin in 1750, the books presented by France's Louis XVI in 1784 and other selective acquisitions of centuries past are now priceless. And they have grown, meanwhile, to close to three million books and journals, augmented by almost a million microform items.

It wasn't until the 1960's, though, when modern quarters were provided for the central collections by the construction of the linked Van Pelt and Dietrich Libraries, that sufficient elbow room became available to meet the accelerated demands of our times. In addition to these contemporary buildings, 22 branch libraries of various ages and sizes serve the needs of specific schools and disciplines throughout the University's 250-acre campus. Most of these too have been newly built or enlarged in recent years.

To the convenience of its 5,000 daily users, virtually all of the Library's books are accessible in open stacks. Many of the University's library buildings, furthermore, are open a hundred hours a week. The public is welcome to use these resources on the premises; faculty and students from other institutions and business and professional people are frequent visitors. It is estimated that nearly 20 percent of all the Library's use is from non-University sources.

Microform reproduction, xerography and the use of several new computerized reference services have greatly extended the variety of bibliographic resources that the Library places at a scholar's disposal.

The University Library today is a thoroughly up-to-date operation from every standpoint, but one that is under severe pressure from the increasing needs and changing interests of the scholarly community.

Hardest hit by the "print explosion" that has been increasing worldwide publication of useful journals and other works by some 5 to 15 percent annually, and by a near doubling of book prices over the last five years, are the University's general collections.

These general collections, housed in Van Pelt Library, contain the University's principal resources in the humanities and sciences. They are heavily used by students and faculty members for course readings, term papers, dissertations and research.

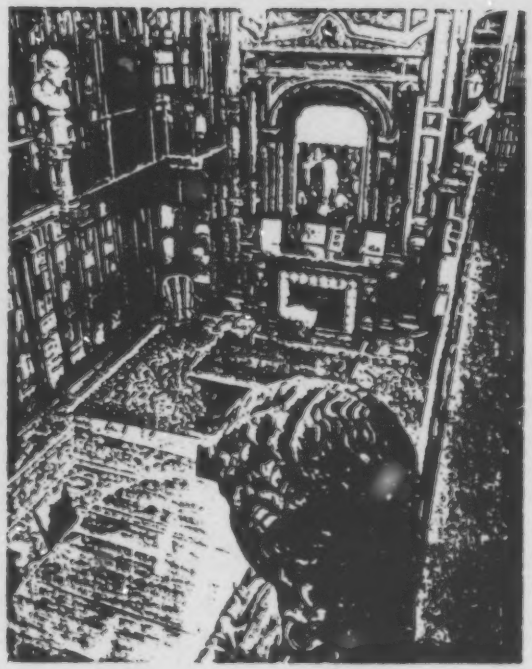
Beset as it is by a rising publication rate and higher book and journal costs, the Library is losing ground in its acquisitions for these collections. New endowment to ensure the Library of a permanent financial base for future acquisitions, plus spendable amounts committed annually for stated periods, must be obtained soon to provide a minimum of $390,000 a year in additional income to strengthen its book funds.

SPECIAL COLLECTIONS

The shifting tides of academic research interests continually generate new subject categories; Afro-American studies, the Middle East, South Asia, East Asia and bio-engineering are typical of some that have recently developed into full-scale scholarly interests. At the same time, we see a new surge of interest among the more traditional disciplines. In certain fields, Pennsylvania's special collections rank among the finest. Particularly distinguished are:

The Short Title Catalogue Collection, bound Xerox copies of all known English books printed between 1475 and 1640. The easy accessibility of these 20,000 titles makes them more valuable to scholars than other great collections whose closed stacks and fragile volumes limit the use of these rare books.

The Horace Howard Furness Memorial Library, an 18,000-volume collection of Shakespeareana and Elizabethan drama. This, one of the nation's largest Shakespeare collections, was the gift of Mr. Furness, a prominent Philadelphia lawyer.



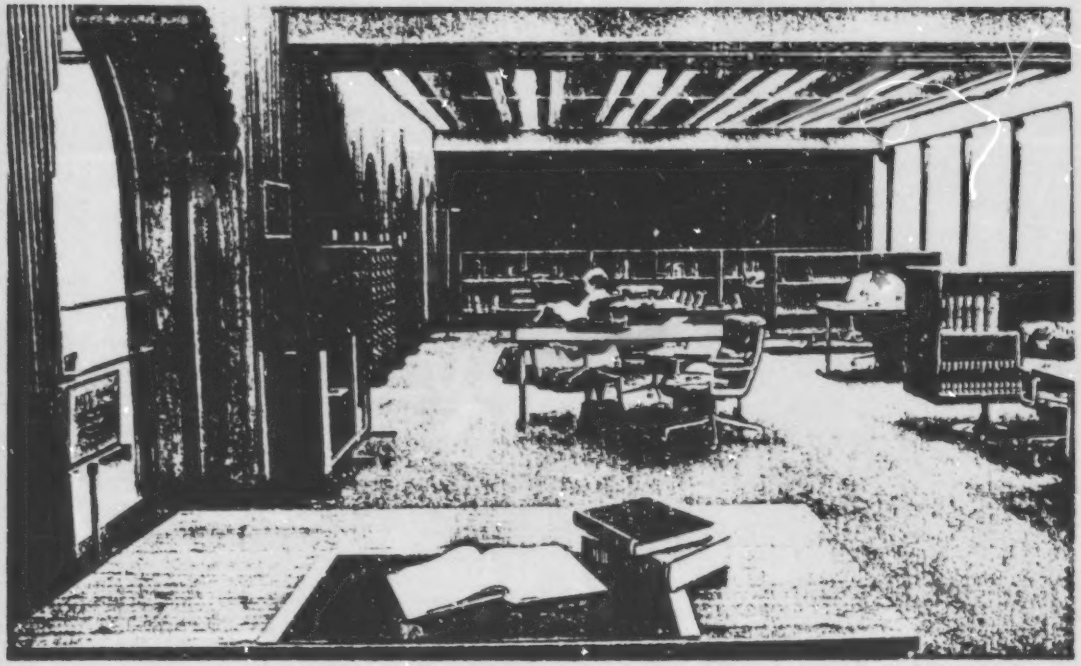
The Henry Charles Lea Library of Medieval and Renaissance History was transferred—books, shelves, fireplace and all—from Mr. Lea's home to Pennsylvania in 1923 as a gift from his children. This 17,000-volume treasure trove of books and manuscripts on the Inquisition, witchcraft and Byzantine history attracts scholars from around the globe.

The Edgar Fahs Smith Memorial Collection in the History of Chemistry comprises more than 15,000 books and documents assembled by the late Pennsylvania scholar-scientist, Edgar Fahs Smith. It is a unique collection of literature and memorabilia relating to the history of chemistry gathered by the former provost (1910-1920) during his career.

The Rare Book Collection is truly distinguished. It includes works written and printed by Benjamin Franklin, Dutch books printed between 1583 and 1712, classical Spanish drama, pamphlets from the French Revolution, early American drama, 16th century Italian literature including Dante and Petrarch, and the manuscript collections of such 20th century writers as Theodore Dreiser and James T. Farrell. The 75,000 rare books and manuscripts here also include fine collections of Walt Whitman, Mark Twain, William Dean Howells, Henry James and William Carlos Williams.

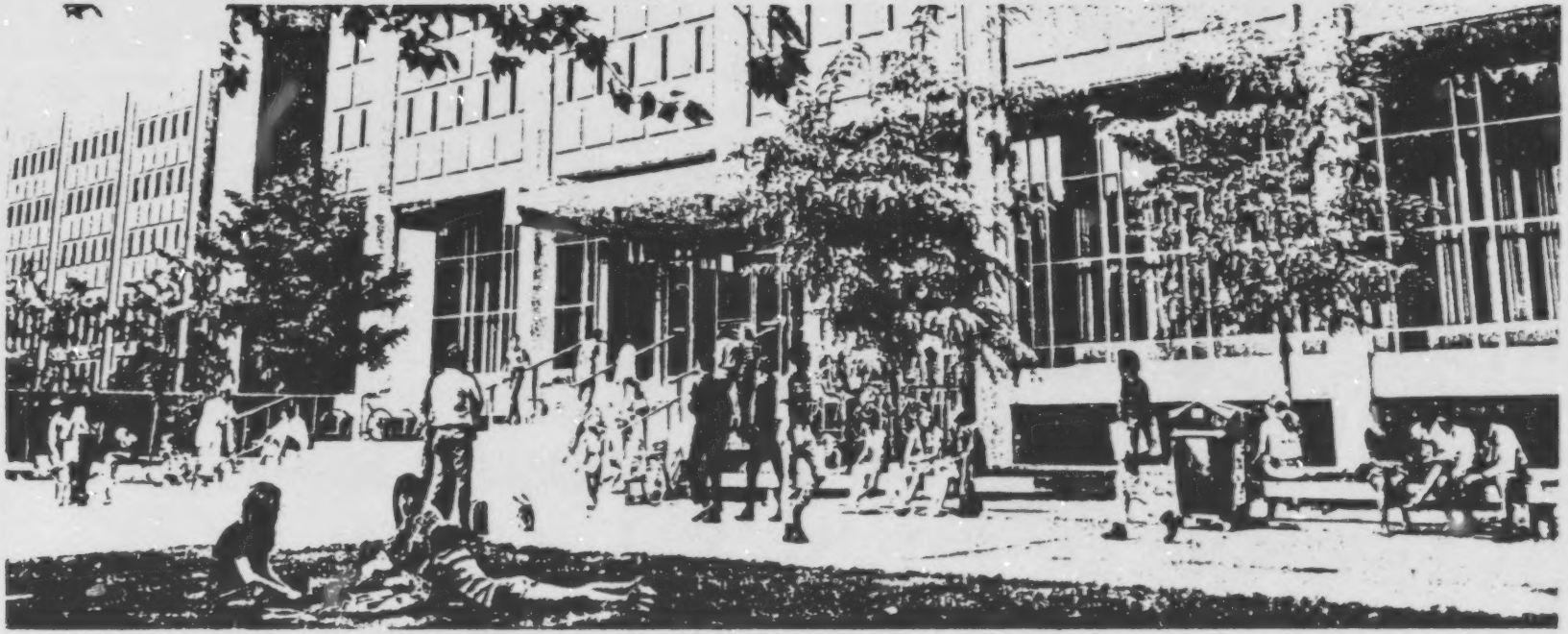
These special collections represent a unique aspect of the Library's character. In addition to those mentioned above, there are other superb special collections. In recent years, expensive books and manuscripts have been acquired for these collections with the help of the Friends of the Library. This group stimulates interest in the Library and helps it purchase items it could not otherwise afford.

058



Pennsylvania has a considerable investment in its campus-wide network of school and departmental libraries. These collections serve particular audiences. One of the most important adjunct libraries—the Lippincott Library—is housed in the Dietrich wing of the main Library building.

The Lippincott Library of the Wharton School was established in 1927 by Mrs. Bertram Lippincott, daughter of Joseph Wharton, the School's founder. Its 160,000 volumes on business, industry and economics, 1,600 periodicals, and 57,000 annual corporate reports make it one of the top business libraries in the nation. It is heavily used by the faculty and students of the Wharton School and by others as well.



For undergraduates, *the Adolph G. Rosengarten, Jr. Reserve Book Library* is one of Pennsylvania's most important libraries. Each semester, faculty members submit their required reading lists to the Reserve Book Library. Open until 2 a.m. during the school year, it affords students ready access to books essential to daily course work and a comfortable and quiet place to read them.

Other specialized branches of the library system, located in schools and departments around the campus, are those of law, engineering, medicine, dental medicine, veterinary medicine, biology, chemistry, communications, fine arts, mathematics, astronomy and physics, social work, music, and psychology, and the University Museum's library of archaeology and anthropology.

The collections of these libraries are indispensable to research and study in the fields they cover.

090

Budgetary pressures and the acceleration of the world's publications output have spurred the adoption of technological alternatives to traditional library services and collection-building. Pennsylvania has been quick to take advantage of computers, telecommunications and microforms and of other new mechanisms for resource sharing and interlibrary cooperation. Cost effective automation has helped streamline organization and procedures and permitted a substantial reduction in the Library's staff.

The computerized circulation control system, for example, speeds up checkouts, keeps accurate records of book transactions and automatically mails out overdue notices.

In 1972, the University Library played a key role in organizing what is now PALINET-ULC (Pennsylvania Area Library Network-Union Library Catalogue). This 165-member, multi-million-volume regional library network ties in with the Ohio College Library Center, which is well on its way to becoming a full-scale national shared cataloguing and reference network. Pennsylvania handles more than half of its current cataloguing load through this computerized system at considerable savings.

The Library's Data Services Office uses a computer terminal to search commercially available bibliographic data bases, while the University libraries themselves are supplemented by membership in the Center for Research Libraries located in Chicago. This jointly-supported "library's library" of infrequently consulted books, journals, archives and microforms is a major resource upon which all its members can draw as the need arises.

The University Library also affords its users borrowing coverage through its Interlibrary Loan Service connection with the Center for Research Libraries backed by the British Library Lending Division's new overseas photocopy service for journal articles.

All of these changes, economies and redeployments of resources have made the Library more efficient in many ways. Pennsylvania has already faced up to many of the serious problems that still lie ahead for many of the nation's great academic research libraries; it has made some of the transitions that the future will dictate. In that sense, the Library is well advanced in its "Program for the Eighties."

How well, however, will the University Library be able to continue acquiring books for its general and special collections in years to come? It has reached the end of its ability to effect major new economies, and its present book endowment provides less than $200,000 toward an annual book and journal budget of $1 million—one of the more modest accessions budgets among leading independent universities.

Less visible than acquisitions, but equally necessary, are the binding of each year's issues of journals into volumes for permanent reference and the rebinding of thousands of often-used books for preservation. These bindery charges can run as much as 15% of the book budget; they, too, must be provided for.

FUND REQUIREMENTS

By the end of 1980 the University of Pennsylvania Library intends to achieve a level of support that will guarantee the quality and adequacy of its book and journal collections. To accomplish this, the Library seeks $8 million in gift funds through the Program for the Eighties.

Gifts are especialiy welcome in the form of endowment to safeguard the Library against the economic uncertainties of the future; contributions of spendable funds are also sought. These gifts may be designated for book or journal purchases, special acquisitions, binding and preservation, or the physical improvement of certain library spaces.

The areas of need are these:

For its *general collections*—in the humanities and the social, physical and life sciences—the Library seeks $6.8 million in endowment to provide an income of about $340,000 annually.

To strengthen its *special collections*—including the East Asian and Middle East Collections, the Edgar Fahs Smith Collection in the History of Chemistry, the Lippincott Library, the Medieval Manuscript Microfilm Archive and the Microfilm Archive of Musical Sources—an endowment of $1 million to yield $50,000 or more annually is sought.

For *physical needs*—completing 27 faculty studies, furnishing public spaces and other improvements—gifts totaling $200,000 are required.

Opportunities exist for the recognition of the Library's benefactors, including the placing of bookplates and the naming of whole collections.

VALUES WORTH KEEPING

Libraries are the guardians of ideals and values worth keeping. On their shelves rests the distilled wisdom of hundreds of generations. There, too, are to be found the seedlings of the great ideas of the future. Through our libraries we can keep faith with both past and future by gathering and passing on the recorded knowledge and traditions of our own age.

The challenge to Pennsylvania's Library today is real. With the thoughtful support of those who appreciate its importance—people both outside the University community and within—that challenge will be met.

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GIFT OPPORTUNITIES

ENDOWMENT

General Book Fund Endowments of varying sizes:	$1,000,000 to yield	$50,000
	$100,000 to yield	$5,000
	$50,000 to yield	$2,500
	$10,000 to yield	$500

Endowment of Special Collections:

History of Chemistry	$100,000 to yield	$5,000
East Asian Collection	$100,000 to yield	$5,000
Middle Eastern Collection	$200,000 to yield	$10,000
Italian Studies	$100,000 to yield	$5,000
Lippincott Library	$300,000 to yield	$15,000
Medieval Manuscripts Program	$100,000 to yield	$5,000
Microfilm Archive of Musical Sources	$100,000 to yield	$5,000

Total endowment required:		
GENERAL COLLECTIONS	$6,800,000 to yield	$340,000
SPECIAL COLLECTIONS	$1,000,000 to yield	$50,000
	$7,800,000 to yield	$390.000
NON-RECURRING EXPENSES		
Physical Facilities		
Construction of 27 faculty studies in Van Pelt Library		$ 50,000
Furnishings, carpeting, improvements		150,000
		$200,000
OVERALL TOTAL		$8,000,000*

*Excludes library needs in Law and Medicine for which funds are being separately sought.

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A sampling of the collection areas in which named book funds can be endowed:

African Studies
American History
Anthropology
Archeology
Art
Behavioral Sciences
Business
Classics
Economics
Education
European History
English Literature
Far Eastern Studies
Geography
Germanic Languages and Literatures
Government Documents
Hebrew and Judaica
History and Philosophy of Science
Humanities
International Studies
Latin American Studies
Library Science
Linguistics
Maps and Atlases
Middle Eastern Studies
Music
Philosophy
Political Science
Psychology
Rare Books and Manuscripts
Religion
Romance Languages and Literatures
Scandinavian Languages and Literatures
Social Sciences
Sociology
Soviet and Slavic Studies
Southern Asian Studies
Urban Studies

The Joseph Regenstein Library of The University of Chicago

UNIVERSITY OF CHICAGO

090
81

A ONE-MILLION-DOLLAR CHALLENGE TO ESTABLISH NAMED BOOK FUNDS

82

The University of Chicago has received from an anonymous donor a gift of $1,000,000 in endowment funds to be used to match other gifts of endowment funds for acquisitions by Regenstein Library. The money will be used to match, on a dollar-for-dollar basis, endowment gifts of $5,000 or more from other donors to the Library.

Donors may make gifts either to the general endowment of acquisitions in the Library's collection or to the endowment of special collections. In either case, the collection may be named for the donor or a person of his choice. A donor contributing $10,000 to establish a collection, for example, will have his gift matched, and a $20,000 named endowment fund will be established for that collection.

If a donor already has endowed a fund and wishes to make a substantial new contribution to the existing fund, this gift also will be matched. By the terms of the gift, only the collections housed in Joseph Regenstein Library will be eligible for matching funds.

As someone who understands the importance of endowed book funds to the continued growth of the Library, you or your family may want to participate in this exceptional opportunity to establish a named book fund. The fund you create at this time will be doubled immediately under the terms of the grant.

065

$1 Million Challenge Gift for Library

A $1 million challenge gift, designated for the enhancement of existing collections, has been presented to the Joseph Regenstein Library by an anonymous donor. The purpose of this generous challenge is to encourage the creation of as many new named book funds as possible in the Library over the next several years.

Regenstein Library, like other major research libraries, faces the problem of trying to maintain the high quality of its collections, while the number of new books and serials published has been doubling every fourteen years.

The income from this gift and from matching endowment contributions will help the library maintain a quality collection essential to the work of University of Chicago scholars.

By the terms of the gift, only the collections housed in the Joseph Regenstein Library will be eligible for matching funds. The $1,000,000 gift is designed to challenge other contributors to make matching endowments of $5,000 or more for the purchase of new books and periodicals. A donor contributing $10,000 to establish a collection, for example, will have his gift matched, and a $20,000 endowment fund will be established for that collection. If a donor has already endowed a fund, and wishes to make a substantial new contribution to the existing fund, this gift will be eligible for matching funds.

Contributions of at least $10,000 subject to life income will also be included in the matching program. Such a trust or annuity gift will allow the named book fund to be established immediately and will guarantee a lifetime income to the donor or designated beneficiary.

Edwin Wiley, AB'49, JD'52, Chairman of the Select Gift Committee in Milwaukee and father of three graduates of the College, told Milwaukee Alumni his favorite University story. In the 1940s Professor Chandrasekhar commuted between Yerkes Observatory in Williams Bay and the campus twice a week to meet a class of two students. Some thought it a waste of his valuable time and energy to commute for just two students. Both later won the Nobel prize in Physics.

"The first library was a small chest containing a few tablets of baked clay. Today a great library may house millions of volumes on—literally—miles of shelves. There is one work, however, found neither in the chest nor on the shelves, and that is the library's final book.

"No library is ever completed. It cannot be until people stop thinking, for ideas beget ideas, and no one has yet devised a better place for preserving them than the pages of a book. Since no library is ever perfected, no good library is ever static. It expands with human learning, and its collections shift with human interests. Its needs are continuous, as is the good it yields."

Fairfax M. Cone
1903–1977
Former Chairman of the Board of Trustees

Foundation Giving Approaches Goal

Philanthropic foundations are an important source of funding for private higher education and for The University of Chicago in particular. Grants from foundations have provided support for the construction of facilities, endowment, new programs and projects, faculty research, and student aid.

A special goal of $9 million from foundations has been set for the period April 1, 1977 to June 30, 1978. Approximately $7.7 million of that amount has already been raised. Among recent gifts and pledges was the Kresge Foundation matching grant of $500,000 which will permit the construction of a variety of athletic facilities on the new first floor of the Henry Crown Field House. To match the grant, an additional $630,000 toward construction costs of the building must be raised by August 15, 1978.

Other foundation grants include $250,000 from the Joyce Foundation, Chicago, Illinois: $175,000 in unrestricted funds and $75,000 toward the Brain Research Foundation's pledge to the Surgery-Brain Research Pavilion. The Chicago Community Trust awarded the University $125,000 for unrestricted support. The Committee on Public Policy Studies has received three awards totaling $450,000: $200,000 from the Lilly Endowment, $150,000 from the Field Foundation of Illinois, and $100,000 from the Ford Foundation of New York City. The Robert R. McCormick Charitable Trust, Chicago, granted the Division of the Physical Sciences $160,000 to support the Robert R. McCormick Fellowships for graduate study. The Division of the Humanities received $80,000 from the Mrs. Giles Whiting Foundation, New York City, to support Whiting Dissertational Level Fellowships. A $100,000 grant from the Henry Luce Foundation will support the Center for Far Eastern Studies' "Chicago Seminar on American-Asian Cultural Affairs." The Center for the Study of the Economy and the State, under the direction of George J. Stigler, PhD'38, has received grants from foundations totaling $1,048,000.

The University of Chicago
5757 Woodlawn Avenue
Chicago, Illinois 60637

HARVARD UNIVERSITY

HARVARD UNIVERSITY LIBRARY

The two essential provisions of any seat of learning are teaching and accumulations of books, and the endowments which secure these two provisions are the fundamental endowments.

Charles William Eliot
President's Report for 1900-1901

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The Harvard University Library depends to an extraordinary degree upon private support. So it has been since our earliest days, when the College in Newtown (later Cambridge) changed its name in response to John Harvard's bequest of his books and a sum of money. All but a few of the nearly 9,000,000 volumes that have since found their way to Harvard's shelves came there by the direct gift of individual benefactors, or were purchased with money privately donated or with the income of funds privately endowed for the purpose.

Endowed funds insure the continued health of this great scholarly resource. They provide the money that we can count on, from day to day and from year to year, to meet the enormous and growing demands of scholarship upon the Library. We could not plan and budget for the future, and we cannot meet the needs of both established and newly emerging disciplines, without an assured basic income for acquisitions. But the number and size of our endowed funds has not increased rapidly enough to keep pace with increasing prices of books and widening spheres of scholarly interest. We must maintain and improve the quality of our enterprise, but we cannot do it without an increase in available funds.

A visible and permanent contribution

Few gifts to the University offer a better opportunity to make a visible and permanent contribution to its strength. By 1972 more than 300 endowed funds of various sizes were helping to support the Library's collections. Each of these funds has its own distinctive bookplate, designed for the purpose of marking every volume that it purchases. Nothing is more impressive than to choose books at random from the shelves, observing the tangible evidence of the private generosity that has made this Library preeminent. And because it is a library of record, most books once on the shelves remain a part of it, a perpetual reminder of the donors and those whom they wished to commemorate. A small selection of Harvard bookplates in active use decorates this pamphlet.

Book funds are among the most personal and enduring of capital gifts, and they offer a wide range of choice to the donor. Your endowment, large or small, will be prudently managed with an eye to both current yield and future growth. It will never be exhausted and will never outlive its usefulness for the purposes to which Harvard University is dedicated.

What a fund will do

The Harvard Library must pay a wide range of prices for the books it purchases. Some that are treated as rare books cost as little as $1.00 apiece; some that are destined for open shelves cost hundreds of dollars each. Only a rough generalization is possible, but it can be

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d that at the beginning of 1973 the
rrent books that make up the bulk of
r purchases averaged ten to fifteen
llars a volume. The price of new books,
th here and abroad, has risen sharply
d will probably continue to rise. But
w books are not the only problem, for
ere are always gaps that should be filled.
r a variety of reasons the Library may
il to acquire a book upon publication;
her volumes wear out or are lost and
ust be replaced. Unfortunately
trospective purchasing is usually among
e first victims in a budgetary pinch.
ne of the greatest benefits to be gained
om additional book funds is the recovery
our ability to buy retrospectively, which
as been much curtailed in recent years.
he basis of our service to the academic
orld is to provide a significant book
hen it is needed to further the aims of
cholarship, whether the book is new
r old.

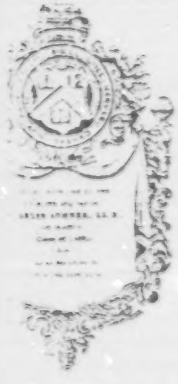
The income of a book fund
used only to pay for books unless the
onor specifies that it shall also be
vailable for other supporting expenses
uch as cataloguing, binding, or the like.
The income from a capital fund of $10,000
will purchase, on the average, some 30 to
0 current volumes a year, or the
quivalent of a stack section in Widener
very six or seven years; and it will keep
doing this in perpetuity. A fund of
$500,000 will deal with many of the needs
of a major field, such as German literature
or the history of the Middle East; it would
take several such funds to solve the
central problems of such a difficult field
as the acquisition of current periodicals.
Opportunities exist for funds of different
sizes to be usefully applied in many
different areas.

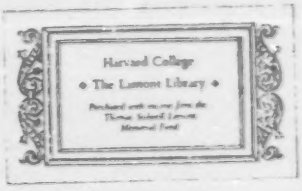
Ready generalizations are not
possible concerning out-of-print books,
manuscripts, other special materials, and
rarities, because most opportunities to
acquire them are unique, and prices
depend upon the state of the market and
the competition. Funds are essential if
strong collections are to be properly
maintained and weak collections are to be
strengthened. Only a few years' neglect
can bring a distinguished collection down
to the second rank, while many an
opportunity to enrich our holdings must
be seized at once or lost forever.

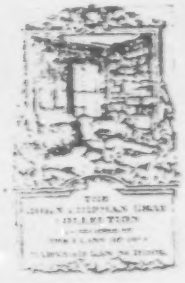
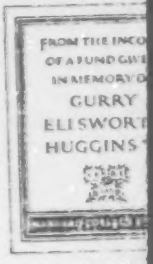
Funds not only buy books,
they attract books; a fund devoted to a
special purpose frequently brings offers of
material for purchase that the Library
would otherwise never hear of. A book
fund will create a monument to its donor
that will always occupy a place of honor
at the center of the University.

Conserving our resources

Like other material objects,
our books and manuscripts are subject to
wear through normal use, no matter how
carefully they are housed and handled.
Many of those produced during the last
century are made of poor materials that
simply deteriorate with the passage of





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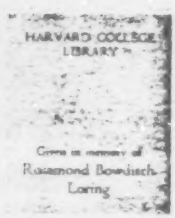
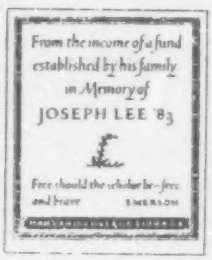
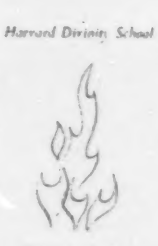
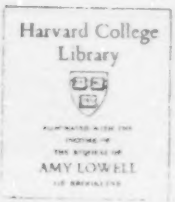
they can provide a flexible response to changing and unpredictable needs. It is nevertheless possible to designate a fund for the benefit of a specific area of collecting according to the interests of the donor or the individual he wishes to honor, but the Library should be consulted before settling upon a restriction, because some fields are more in need of support than others. Officers of the Library will welcome the opportunity to consult with the donor or his representatives concerning the official description of a fund, the text and design of its bookplate, and any other questions relating to it.

Inquiries about any of these matters may be addressed to the Director of the Harvard University Library, Cambridge, Massachusetts 02138; telephone (617) 495-2401. He will be glad to call in appropriate members of the staff for advice and consultation.




From the income of a fund established by his family in Memory of
JOSEPH LEE '83
Free should the scholar be—free and brave
EMERSON





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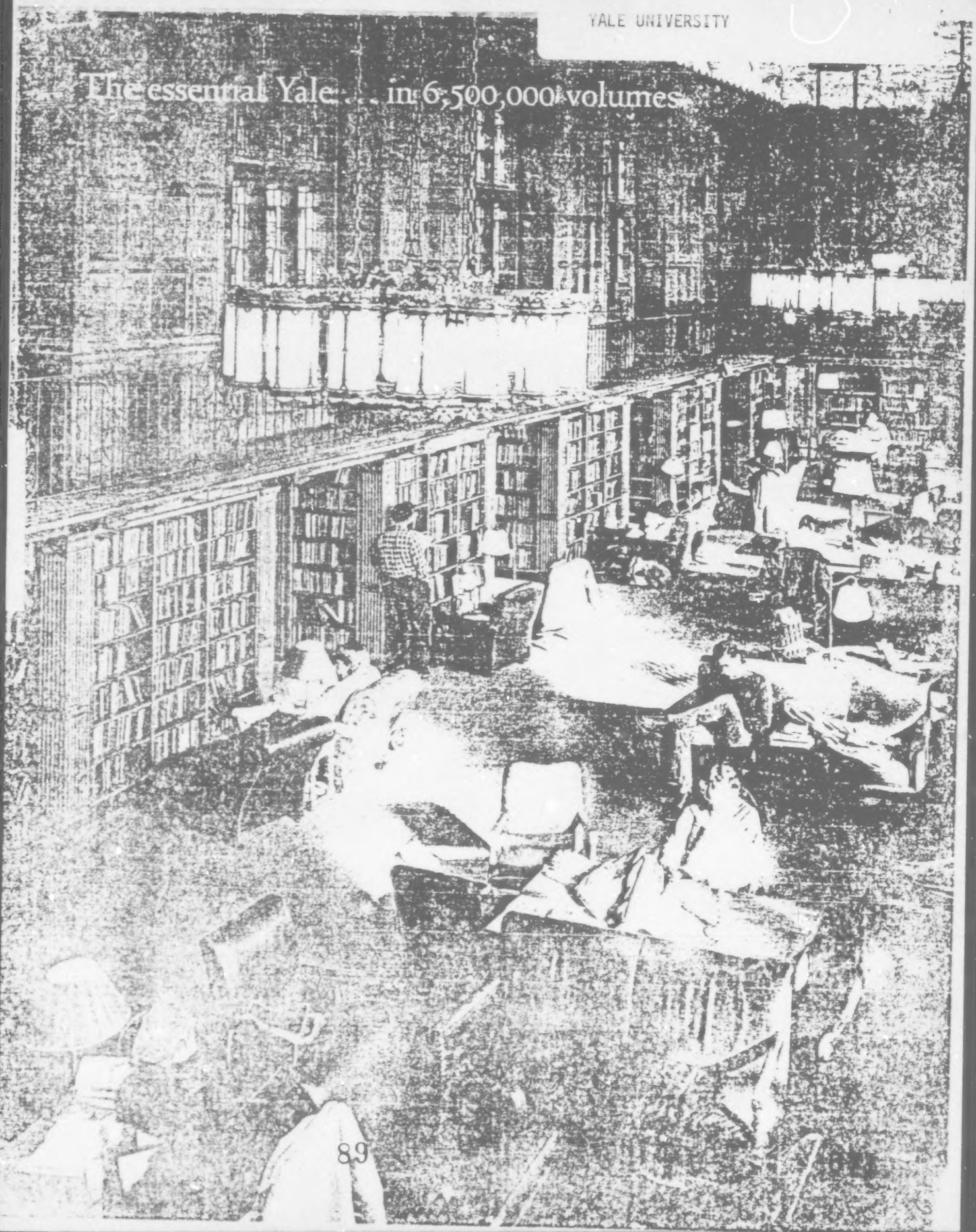
YALE UNIVERSITY



PEOPLE who love books expect a lot from a library, and students and faculty in a major university expect the most of all.

Even though their studies range over a vast number of highly complex fields–from classical literature to astrophysics–they all want the collections in their own particular fields to be outstanding. Despite the rapidly escalating costs of books and periodicals, they all want the library's acquisitions to cover every important new development in scholarship.

The unprecedented expansion and dissemination of knowledge during the 20th century, especially since World War II, have caused libraries to double in size every 10 to 15 years and librarians to measure shelf requirements not by the linear foot, but by the mile. It now requires battalions of curators, bibliographers, cataloguers and other specialists to process this ever-growing mass of printed material. Yet users of the library all expect to gain access to the books they need within minutes.

And why not? In a university, especially in the humanistic disciplines, the library is the very heart of the enterprise. One of the principal reasons that men and women come to a university is to read–and to talk about–books: to study the recorded thought of the past in order to attempt the great intellectual and practical accomplishments of the future.

To ask, "What does this university's library have to offer?" is essentially to ask, "How good is this university?"

Nothing represents Yale's importance to education and scholarship more accurately than the Yale University Library.

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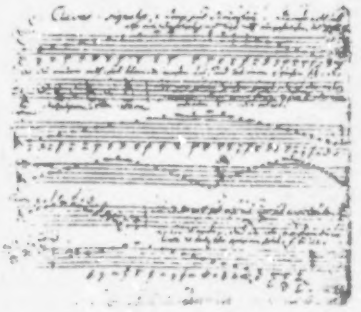
Opposite: Main floor of Sterling Library, facing the circulation desk

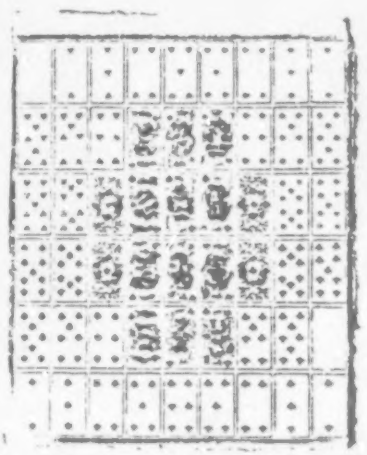
A Collection of Outstanding Collections

With 6,500,000 volumes (in 1975), Yale has the second largest university library in the world, after Harvard.

It is actually a system of some 40 libraries, ranging from Sterling Memorial Library, which contains half of Yale's total collection, to the small libraries within the 12 undergraduate residential colleges. Most house the specialized works used primarily by individual academic departments or professional schools.

Together, these libraries constitute a priceless intellectual resource, one that attracts scholars and students to Yale from throughout the world. The Yale Library also represents an accomplishment seldom equalled in the history of bibliophilism, for many of its greatest collections were given in their totality by individual donors or begun in that fashion and expanded over the years through the efforts of alumni and friends, principally those organized as the Yale Library Associates.

A number of Yale's collections are famous for their rarity, scholarly value or comprehensiveness–in many cases, all three. They include the private papers of James Boswell, whose voluminous journals have helped to immortalize the manners and mores of an entire era; and the collection of Horace Walpole's correspondence, owned and edited by Wilmarth S. Lewis, '18, former Senior Fellow of the Yale Corporation and proprietor of what *The New Yorker* recently called "the most monumental scholarly publishing project ever instigated, financed and directed privately." (The collection will eventually become the property of Yale.) *

Clavier-Büchlein vor (Little Piano Book for) Wilhelm Friedemann Bach The original handwritten manuscript by his father, Johann Sebastian Bach. The Yale Music Library purchased this, its most famous treasure, after a successful fund drive in 1932.



Cary Collection of Playing Cards A collection of 2,600 packs, 460 sheets and 150 wood blocks, representing productions of the last 500 years, together with over 200 books about playing cards, almost 100 edicts, declarations and proclamations relating to cards, and many engravings of cards and card games.

*The Boswell papers are the basis for an equally monumental publishing project: *The Yale Edition of the Private Papers of James Boswell*, prepared under the direction of Professor Emeritus Frederick A. Pottle in a room in Sterling Library now commonly known as the Boswell Factory. (The Walpole Factory is next door.) Among Yale's other great editorial projects are the works of Jonathan Edwards, Samuel Johnson and Thomas More and the papers of Benjamin Franklin (recipient of an honorary master's degree from Yale in 1753).

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Seen as a group, Yale's holdings in English literature constitute one of the half-dozen largest collections in the world. Combined with the resources of the new Yale Center for British Art and British Studies, to open soon with the art and book collections of Paul Mellon, '29, they will establish Yale as the most important center for the study of British civilization outside England.

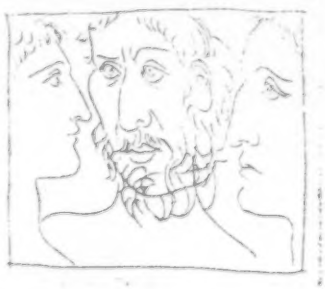
Yale also has one of the world's two leading collections on the history of Protestant missions; a set of historically and scientifically valuable photographic plates recording the motions of planets; an historical medical collection so complete that Yale was able to establish, in the early 1960s, one of the country's first academic departments devoted to the history of science *and* medicine; the world's leading collection on the American West; and over 60,000 historical sound recordings, including Tennyson reading his verse and Brahms playing Brahms.

This sampling only begins to suggest the richness of the Yale Library. Some collections are made up of countless smaller collections; the Yale Collections of American and German Literature fall into this category. The former includes the manuscripts and correspondence of both major and minor writers and is known for such treasures as Eugene O'Neill's *Long Day's Journey Into Night*, one of many spectacular acquisitions that demonstrate to the world the gravitational pull of a great university collection.

Some of the most noteworthy collections and individual works contained in the Yale Library are listed in the margins of this brochure.

Cherokee Singing Book
In the Day Missions collection of the Yale Divinity Library; published in 1846. Provides four-part musical notation along with the Cherokee text of hymns. Part of a large collection of North American Indian language grammars, reading books, spellers, catechisms and hymn books.

Harvey Cushing Vesalius Collection
Contains 164 of 198 works by Vesalius, the father of modern anatomy, including his monumental *De Humanis Corporis Fabrica*, Basel, 1543 —three copies of the first edition, one copy of the second pocket edition and a mint copy of the third edition in a superior binding of the period. Also, a letter in Vesalius' hand.



French Illustrated Books
Several hundred volumes from the 18th to the 20th century, representing the finest printing, binding and illustration of each period. Illustrators well represented include Bonnard, Boucher, Daumier, Doré, Gravelot, Lepère, Moreau le jeune, Picasso (above) and Steinlen.

The Library of the '70s: Acquisitions by the Mile

The acquisitive power of the Yale Library has multiplied again and again in recent years, drawing in books and periodicals, maps and coins, photographs and recordings, manuscripts and letters at a rate that would have astounded a librarian of the early 1900s.

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At that time, Yale had 350,000 books–a respectable collection and a quantum leap from the 3,000-volume library Yale had offered its students a century earlier. Yet in the following 25 years, the Library was to double in size–and double again.

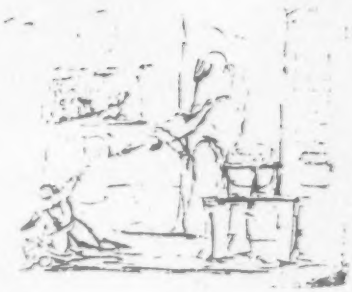
With the opening in 1930 of the Sterling Memorial Library, built with part of the bequest of John W. Sterling of the Yale College class of 1864, Yale had a collection of close to 2,000,000 books.

Then came the real explosion. The Yale Library Associates, a group of alumni bibliophiles, set to work. Frank Altschul, '08, was the first chairman of its board of trustees, and Wilmarth Lewis was the first secretary of that board. They were soon joined by a new University Librarian, the late James T. Babb, '24, who turned out to be one of the greatest collectors of collectors any library has ever known. Together, they rounded up books, manuscripts and financial gifts to the Library as no group of bibliophiles before them. (Still one of the Library's principal sources of support, the Library Associates now number about 850.)

At the same time, new publications were pouring off the world's presses with accelerating speed–especially scientific publications, disseminating the mass of discoveries that had grown out of the technological *blitzkrieg* of World War II.

By 1951, when Yale celebrated its 250th anniversary, it had also passed another important milestone: the University which had begun life in 1701 with 40 volumes now had more than 4,000,000.

The explosive growth of the Library's collections continues today. Yale is now acquiring books and periodicals at the rate of about 175,000 a year–700 every working day, or the annual equivalent in shelf space of four and one-half miles. This growth is one of diversity as well as volume. The number of specialties represented at Yale, as in the world of scholarship as a whole, has multiplied over the past half-century. New disciplines–such as astrophysics, biochemistry and political sociology–have emerged,



Yale Collection of German Literature
Seventeenth-century baroque literature and the finest collection of Goethe material in America. Includes archives of Kurt Wolff and Herman Broch. Drawing shown, c. 1775, is by Goethe.

Gimbel Dickens Collection
A large collection of material by and about Dickens–books in parts, first and early editions, sets of collected works, manuscripts, letters and clippings. Correspondents include George Cruikshank, Daniel Maclise, George Henry Lewes, Anthony Trollope, Thomas Carlyle and William Makepeace Thackeray. Above: "The Christmas Book," an original drawing by John Leech for *A Christmas Carol*.

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and an increasing number of scholars have turned their attention to non-Western areas of the world.

Today's Library Users: Demanding and Diverse

Of the various libraries fed by the annual acquisitions of the Yale Library, the central ones are Sterling Memorial Library, the Beinecke Rare Book and Manuscript Library and the Cross Campus Library, an underground extension of Sterling.

The Beinecke Library, completed in 1963, was the gift of three brothers: Edwin J. Beinecke, '07, Frederick William Beinecke, '09 s, and Walter Beinecke, '10. It contains 450,000 rare books and over 1,000,000 manuscripts, and is one of the country's most important and heavily used resources for original scholarship in the humanities, especially in English, American and German literature and in the history of the American West.

The Cross Campus Library has a completely different function from the Beinecke Library, but one of equal importance. The need for the Cross Campus Library was expressed best by the late Mr. Babb. Writing about the Library in 1966, he declared:

"The scholars' quiet haven has turned into something closer to Grand Central Station at the five o'clock rush hour, with often upsetting results for the scholar."

The same thing had happened at Yale as at colleges and universities throughout the country. After World War II, educational methods at the undergraduate level changed. The single textbook was replaced by the extensive reading list of books and periodicals. Seminars and other small-group courses gained popularity over large lecture courses. Consequently, students who once would have studied essentially the same material as their classmates received a growing number of their assignments in the form of independent research projects.

William Harvey Collection
First edition of *De Motu Cordis*, Frankfort, 1628, the first major publication on the circulation of blood; also, the first edition of *De Generatione Animalium*, London, 1651 and many other items.

Paul Hindemith Archive
All materials relating to the composer's stay in the United States, where he served on the faculty of the Yale School of Music from 1940–53. Includes nine autograph scores.

Charles Ives Archive
Complete manuscripts, letters, papers, scrapbooks and iconography of Ives, Yale College class of 1898.

James Weldon Johnson Collection
Centers on American black artists and writers of the late 19th and 20th centuries. Includes manuscripts and correspondence of Chester Himes, Langston Hughes, James Weldon Johnson, Claude McKay and Walter White.

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Suddenly, the library became the place to go.

The Cross Campus Library, which opened in 1971, represents Yale's solution to the heavy demand undergraduates had been making on the facilities and staff of Sterling. This new library contains the books in every field that are used most frequently by undergraduates and beginning graduate students (125,000 volumes in 1975, with shelf space for twice that many) and seats 750 in study areas spread throughout the stacks. The Cross Campus Library is now one of the most heavily used buildings at Yale. It has succeeded in eliminating traffic jams in Sterling and has allowed the staff there to resume their original function of aiding faculty members and advanced students in their more specialized research.

Among Yale's 30 libraries devoted to specific professions and disciplines (all are listed on page 15), two—like the Cross Campus Library—represent responses to new needs among library users. Both consolidate collections in related fields, thereby providing time-saving facilities for the growing number of scholars and students whose work spans two or more conventional disciplines.

One is the Kline Science Library, situated in the heart of the Yale science area on the ground floor of the Kline Biology Tower. The Kline Library attempts to acquire all new and important material in biology, chemistry, physics, molecular biology and biochemistry. Its reader services include computer links to organizations, such as the American Geological Institute, that disseminate bibliographical information on scientific subjects.

The second consolidated library is the Social Science Library on Prospect Street. It serves students and faculty members in political science, sociology and economics and is within easy walking distance of other, more specialized social-science libraries, such as those of the Cowles Foundation for Research in Economics and the Economic Growth Center.

Lindbergh Papers
Personal and business papers, family records, printed matter, research notes, writings and photographs of Charles A. and Anne Morrow Lindbergh.

Lippmann Papers
Correspondence, memorabilia, manuscripts, photographs and writings by and about Walter Lippmann. Correspondents include Lyndon Johnson, Felix Frankfurter, Winston Churchill, Allen Dulles, John Foster Dulles, Woodrow Wilson, Herbert Hoover, Robert Kennedy, Bertrand Russell and Archibald MacLeish.

Pre-1600 Manuscripts
More than 700 manuscripts containing splendid examples of the illuminator's art (the Savoy Hours, the Albergati Bible, the Rothschild Canticles—shown above) as well as texts of particular importance (the Capitularies of Charlemagne, a volume of Anglo-Norman poetry) and other items of interest.

Virtually all of Yale's libraries–old and new, scientific and literary–have had to step up their services in recent years, for all have experienced a sharp rise in demand.

From 1971-72 through 1974-75, annual circulation throughout the Yale Library system rose by more than 40 percent – from 759,000 to 1,067,000. Circulation in school and department libraries rose by more than 70 percent. Sterling alone experienced a decline in circulation, and this was caused by the transfer of so many books used mainly by undergraduates to the Cross Campus Library. There, the number of books checked out annually for normal use rose by 45,000 over the three-year period and the number for overnight reserve rose by nearly 15,000.

The Management of Growth

The Yale Library today faces two challenges larger, more serious and more complex than libraries have ever had to deal with. Given the limits of existing space, how will it be possible to accommodate the growing volume of new acquisitions? Given the rapidly rising costs of printed material–and of the manpower to process and maintain it–how can the Library continue to provide its readers with ready access to the books they need?

For a number of years, Yale has perceived shortage of library space as a major problem. Many of Yale's libraries, including the Forestry, Medical, Mathematics, Economic Growth Center and Statistics libraries as well as Sterling itself, face almost immediate space crises. The libraries of the Schools of Art, Music, Law and Divinity will soon follow.

The Yale Library is approaching this problem in a variety of ways. One of the most important has been participation with the New York Public Library and the libraries of Columbia and Harvard in forming the Research Libraries Group. This group operates on the principle that even a major library can acquire

Map Collection
One treasure is a unique manuscript *mappa mundi* by Henricus Martellus Germanus (ca. 1489) showing the world just before the voyages of Columbus. It is the first pre-Columbian map to be graduated in degrees of longitude, thus indicating what then was believed to be the degree distance between Europe and Asia.

Mellon Collection of Alchemy and the Occult
About 330 books and manuscripts ranging from the 13th to the early 20th century, relating to alchemy, astrology, magic, witchcraft and the occult generally.

Numismatic Collection
More than 100,000 coins as well as paper currency, financial documents, stocks, bonds, campaign medals, tokens, buttons and memorabilia. Included are a fine representation of classical Greek coinage and excellent collections of Roman and Byzantine coins.

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only a small percentage of the world's total output of printed material (Yale currently acquires only about 10 percent) without exhausting its space and its budget very rapidly. The Research Libraries Group has developed a system in which major acquisition decisions are made jointly. Each library is maintaining staple items of scholarship, but member libraries will share single copies of lesser-used and very expensive material.*

Through an improved interlibrary loan system, Yale students and faculty members, as well as users of the other three libraries, now have access to the total collection of 26,500,000 volumes. The Bibliographic Center of the Research Libraries Group, situated at Yale, conducts the searches for requested materials and has usually been able to locate them much more quickly than under previous loan procedures.

Eventually, the Research Libraries Group expects to use computer-based systems to store bibliographic citations and to help minimize overlap in technical processing.

Yale also belongs to the Center for Research Libraries, a national consortium of 100 research libraries which maintains a central store of foreign doctoral dissertations, lesser-used serial publications, state documents and major microfilm series, including those of newspapers. The savings in storage and space, as well as acquisitions and processing costs, are growing steadily.

The Yale Library's response to the second challenge of growth –how to provide efficient library services economically–is also based on the principle of sharing. Over the past decade, Yale has converted its collections, wherever possible, to the Library of Congress classification and subject heading systems. Within only two years (1969-70 and 1970-71), this standardized format helped increase the productivity of the technical services staff by 23 percent.

*To eliminate unnecessary duplication of acquisitions among its own libraries, Yale recently adopted a computer-based system that records all orders for new books. The system also enables readers to learn the whereabouts, within the processing system, of any book or periodical that has been ordered but is not yet on the shelf.

Osborn Collection
A manuscript collection that encompasses nearly every aspect of English literature and history from the 16th to the 20th century.

Cole Porter Archive
Originals or photocopies of all existing manuscripts of Porter's music; his collection of phonograph records, both commercial and private; contemporary scrapbooks devoted to each show as produced; theatrical programs, photograph albums and accounts of the composer's travels.

Ezra Pound Archive
A new acquisition consisting of the bulk of Pound's manuscripts and correspondence. Included are letters from E.E. Cummings, T.S. Eliot, Ford Madox Ford, Robert Frost, Ernest Hemingway, James Joyce, H.L. Mencken, Marianne Moore and W.B. Yeats.

Gertrude Stein
Manuscripts, correspondence, miscellaneous printed material, books from her library and pictures from her collection. Among the correspondents are Mildred Aldrich, Bernard Faÿ, Ernest Hemingway, Pablo Picasso, Carl Van Vechten and Thornton Wilder.

Perhaps even more important, Yale has joined a number of other libraries in drawing Library of Congress cataloguing information from a single data bank. (The computer system that is used was developed largely through preliminary research conducted by Yale.) This data bank also disseminates cataloguing information provided by the member libraries themselves. Yale began reaping the benefits of this cooperative effort in 1973, when it installed computer terminals connected to the Ohio College Library Center, the headquarters of the system. During the first year of operations, Yale catalogued 20,000 titles (a title often includes several volumes) with information provided in this fashion. At present, computer-aided cataloguing is proceeding at the annual rate of over 35,000 titles–more than one-fourth of the total cataloguing output. In the near future, the Library expects to increase that number to include additions to all but the most esoteric collections.

To appreciate the financial benefits of computer-aided library services, one need only look at the growth of the Library's staff over the past decade. In 1964-65 the full-time staff was about 400. By 1974-75 it had grown to 565, and wages for part-time student employees had become a significant budget item. While there will always be a need for highly trained librarians, such as subject bibliographers and curators specializing in certain geographic areas, the number of clerical employees required to perform routine tasks almost certainly can and will be reduced through automation.

Yale's gains in improving the productivity of the Library staff only foreshadow progress to come. Perhaps the greatest gains of all can be expected in the productivity of Yale's students and faculty members. The current catalogue system–"more than 10 million little pieces of paper," as one librarian described it–will inevitably be replaced by a computerized bibliographic retrieval system. The Yale Medical Library and the Kline Science Library already have access to MEDLINE, the computer system developed

Robert Louis Stevenson
An exhaustive collection of manuscripts, books, periodicals and letters. Manuscripts include *The Charity Bazaar, The Wrong Box, An Inland Voyage* and a portion of *Dr. Jekyll and Mr. Hyde.*

Alfred Stieglitz
An archive of books, pamphlets, scrapbooks, a sampling of photographs, a number of paintings and other art objects and letters. Among the correspondents are Charles Demuth, Arthur Dove, Marsden Hartley, John Marin (whose portrait of Stieglitz is shown), Georgia O'Keeffe, the Honorable Dorothy Brett, Rebecca Salsbury James, Dorothy Norman and Herbert Seligmann.

Stimson Papers
Correspondence, diaries and other material related to career of Henry Lewis Stimson, Yale College class of 1888, as a New York lawyer, Secretary of War under Taft and Franklin D. Roosevelt, Secretary of State under Hoover, Governor of the Philippines and prominent Republican.

Tibetan Collection
One of the most comprehensive Tibetan collections outside Asia. Includes the Lhasa edition of the *Kanjur*, collected works and biographies of Dalai Lamas, manuscripts, banner paintings, iconographical prints, printing blocks and bronze images.

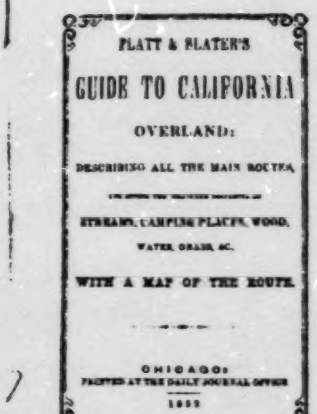
by the National Library of Medicine to provide complete lists of sources on the precise subject in question. (Example: MEDLINE can produce within seconds a list of all material published in English over the past 10 years on compound fractures of the knee.) When a system of this kind is in use throughout the Library, the average time required to gain access to needed information will be reduced to a small fraction of what it is today.

The intelligent application of technology will meet many of the Library's challenges, permitting money that otherwise would be spent on costly processing to be used to buy needed books.

All technology, however, takes time and capital to develop. The Yale Library has critical financial problems that require immediate solution.

The costs of publications are rising even faster than the general rate of inflation. Books printed in the United States have risen in price from an average of eight percent a year about 10 years ago to an average of 12 percent, then–over the past two years–20 percent. Foreign publications, which constitute more than half the total purchases of the Library, have risen even more sharply in price. In 1974-75 alone, the cost of German serial publications rose 33 percent; United Kingdom serials, 42 percent; African serials, 25 percent.

Even though Yale has continued to increase appropriations for acquisitions, it has not been able to combat this particularly severe degree of inflation.


PLATT & SLATER'S
GUIDE TO CALIFORNIA
OVERLAND:
DESCRIBING ALL THE MAIN ROUTES,
STREAMS, CAMPING PLACES, WOOD,
WATER, GRASS, &C.
WITH A MAP OF THE ROUTE.
CHICAGO:
1859

Yale Collection of Western Americana
Books and manuscripts relating to the trans-Mississippi West. Especially strong in material on the Pacific Northwest, the Spanish Southwest, the Plains and Rockies, and American Indian life. Includes one of the best collections of Texas material in the country.

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In 1974-75 Yale spent approximately $2,278,000 on library acquisitions, $636,000 more than in 1971-72. Yet the total number of volumes it was able to purchase fell during this three-year period from 120,000 to 112,000. Even including gifts and items acquired in exchange, accessions declined from 218,000 to 179,000.

Rising costs and shrinking space are forcing the Yale Library to slow the rate of acquisitions throughout the system. In a time when most fields of learning are expanding, few situations could be more potentially damaging.

In order to maintain the Yale Library as one of the country's leading resources for scholarship and education, The Campaign for Yale seeks $22,000,000 to make possible the purchase of needed publications, to provide adequate space for the Library's growing collections, and to further the technological advances that will help determine the Library's ability to meet future challenges.*

*The Campaign for Yale is also seeking gifts to enlarge the libraries of the Divinity School and the Law School, to construct an art & architecture library and to construct a mathematics building and a Center for Yale Music, both of which will contain libraries. These needs are in addition to the needs described in this brochure.

Rutherford D. Rogers has served as a top administrator in three of the largest libraries in the United States.

He was appointed University Librarian at Yale in 1969, having been chief of the great reference collection of the New York Public Library (1954-57), then Deputy Librarian of Congress (1957-64).

At the Library of Congress, Mr. Rogers was instrumental in planning the automation of many key operations and services. He left to become Director of the Stanford University Libraries and served in that capacity until coming to Yale.

A graduate of Columbia University with advanced degrees in English and library science, Mr. Rogers served in the Army Air Force for four years during World War II and was discharged with the rank of Captain.

He is co-author of *University Library Administration*, the leading text in the field, and has served as President of the Association of Research Libraries and Vice-President of the American Library Association. He is a member of the National Academy of Sciences Committee on International Scientific and Technical Information Programs and several other international planning organizations.

From the University Librarian

THIS brochure is full of facts, but to me the most telling one is that during the first month of the 1975 fall term, 1,800 students took orientation tours of the Yale Library–roughly the equivalent of the entire freshman class and all the first-year students in the Graduate School. That one statistic says a great deal about how complex our library has become and how much Yale students need and want to use it properly.

Yet from earlier years this is a difference only in degree, not in kind. Few have ever been able to resist the overwhelming power of the Yale Library to arouse intellectual curiosity, and to satisfy it. As often as I've walked through the various libraries at Yale–Sterling, Beinecke, Kline, Cross Campus, the libraries of the professional schools and the residential colleges–I still look at this massive store of knowledge and feel awe.

More to the point, like all the professionals on the library staff, I feel the importance of my responsibility to make this enormous educational facility *work*.

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What I mean is that we should be able to put into the reader's hands whatever book, periodical, map or other library material he needs–quickly, in order to let him get on with the business of learning.

In a major research library such as Yale's, this isn't as simple as it sounds.

The volume of material being published worldwide in the 1970s is far greater than anyone anticipated 50 years ago, when Sterling Library was being planned. Amazing as it seems, within two years this great building containing half of Yale's total collection will be, for all practical purposes, full. Several of the smaller libraries in the Yale system are experiencing space crises right now.

While microfilm and similar innovations will help reduce our future space requirements, they are too expensive–and the necessary viewing equipment too bulky–to serve as an entire solution.

Therefore, if the Yale Library is to continue as a first-rate research facility, we need to ensure its ability to grow as recorded knowledge itself grows. A primary goal of The Campaign for Yale is $10,000,000 for physical expansion of the Yale Library.

Equally important, we need to ensure the future ability of the Library to purchase the books, periodicals and other library material that Yale students and faculty members require, even though the cost of the printed word is rising much faster than the cost of just about any other commodity. For this the Campaign seeks new endowment of $10,000,000 in book funds.

Many people find these sums staggering. Yet those who know libraries well often ask if the Campaign's goals are large enough. Won't we have to come back in a few years for funds for still *more* space, still *more* books? The answer is that if we apply technology successfully, we should be able to stem the rising costs of operating the Library and, in this way, provide for the growth of the collection itself for many years to come. A third Campaign goal, therefore, is $2,000,000 to develop new cost-saving technology for automating the acquisition and technical processing of books.

The requirements of maintaining a great library during severe economic times would be overwhelming were there not people with a strong sense of responsibility coupled with an enduring love of books. The current greatness of Yale's collections can be credited largely to such a group, the Yale Library Associates, who

The Yale Library system is made up of about 40 libraries. Some, such as the Beinecke Rare Book and Manuscript Library, are housed in their own buildings. Others, such as the Historical Sound Recordings collection, occupy space in Sterling Memorial Library but are so comprehensive and distinctive that they are generally considered libraries in their own right. These are the main libraries in the Yale system:

Anthropology
Art and Architecture
Babylonian
Beinecke Rare Book and Manuscript
Chemistry
Classics
Cowles Foundation for Research in Economics
Cross Campus
Divinity
Drama
Economic Growth Center
Engineering and Applied Science
Forestry and Environmental Studies
Geology
Historical Sound Recordings
Kline Science
Law
Manuscripts and Archives
Maps
Mathematics
Medical
Music
Numismatics
Observatory
Ornithology
Social Science
Statistics
Sterling Memorial
12 undergraduate residential college libraries.

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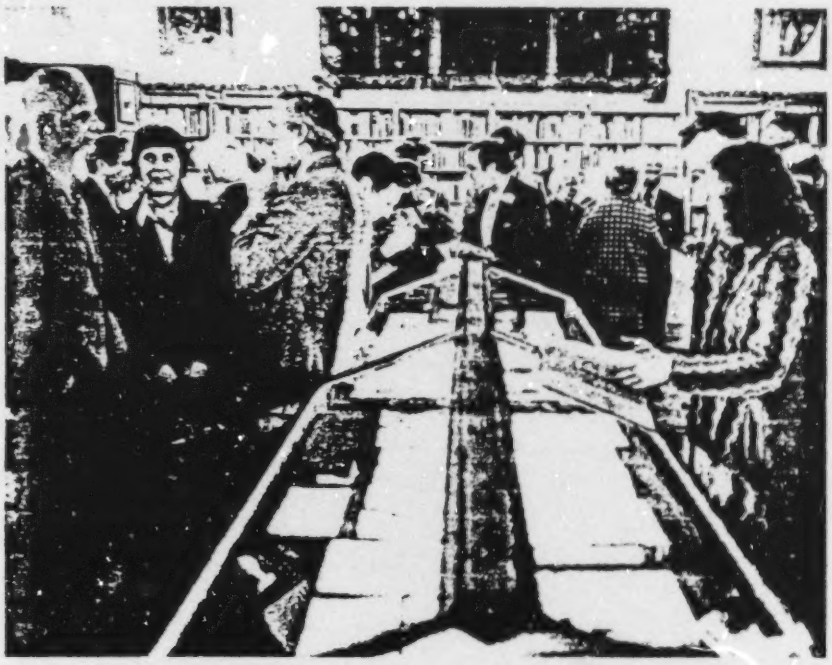

The opening of a new exhibition in the Arts of the Book Room in Sterling Library.

have taken seriously the statement engraved outside the doors of Sterling – *The Library is the heart of the University* – and have worked tirelessly over the past half-century to help create a library worthy of Yale. Another group whose work is vital to the Yale Library is the University Council Committee on the Library, the experts whose informal scrutiny and advice help guarantee Yale a competitive place among the great libraries of the world. (The current officers and trustees of the Yale Library Associates and members of the University Council Committee on the Library are listed on the inside cover.)

The Yale Library needs the support of people like these – as many as can be found. The demands on the institution are growing constantly. Circulation figures show very clearly that Yale students and faculty are using a greater variety of library material, in greater volume, every year. Yale owes it to them and to its own reputation to provide the most comprehensive and well-ordered collection possible. Beyond this, Yale has a responsibility to the nation. We have in our possession a huge supply of one of America's most valuable resources: information. Through The Campaign for Yale, with its goal of $22,000,000 for the Yale Library, we are seeking to preserve and enhance this resource for generations to come.

R S Rogers

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Campaign Objectives

New Endowment for Acquisitions		$10,000,000
Construction Funds		10,000,000
Cross Campus Library Extension	$6,000,000	
Off-Campus Storage Building	4,000,000	
Current Funds for New Technology		2,000,000
TOTAL		$22,000,000

New Endowment for Acquisitions $10,000,000

The first gift to Yale was a gift of books–40 volumes, donated by a group of clergymen in 1701 for the purpose of establishing a collegiate school in the colony.

The gift that provides Yale with books is still essential to the life of the University.

Among the most valued gifts are those which best enable the Library to respond to the changing needs of scholarship and education–book funds unrestricted as to purpose.

Another important use of the unrestricted fund is book preservation, a vital function in a library as heavily used and as rich in rare, often one-of-a-kind publications as Yale's.

Funds designated for certain areas of study continue to be welcome gifts, of course. The areas in which the Library's present needs are the greatest are listed on the next page, as are the minimum amounts required in new endowment to cover future acquisitions in each area.*

*Donors wishing to restrict the income from book funds to the purchase of specific types of material are requested to discuss their gifts beforehand with the University Librarian.

Book Fund Gift Opportunities

"What could be more delightful, what more worthy of a Yale man, than to make himself personally responsible for discovering one of the weaker sections in the Library and filling it?"

From Chauncey Brewster Tinker's 1924 Alumni Day Speech

Responding to Professor Tinker's suggestion, many Yale men *did* make themselves personally responsible for discovering one of the Library's needs and meeting it.

The Yale Library now has approximately 350 endowed book funds. They have been established by Yale graduates, by their families in honor of them, by faculty members, by friends of the Yale Library and by colleagues and former students of a professor or officer of the University whom they wished to honor.

Each book purchased with the income from an endowed book fund bears a bookplate with the name of the donor or whomever he or she has designated. Many donors have commissioned special bookplates, a few of which are shown on the facing page.

Book funds may be established with gifts beginning at $5,000.

Gifts in the amounts listed in the margin will make substantial contributions to Yale's future acquisitions in each specified area of study.

For donors with strong interests in particular fields, such as East Asian studies or forestry, still another gift opportunity exists: to provide total endowment for *all* the Yale Library's acquisitions in those fields. Required amounts vary, and interested donors are invited to discuss the possibilities with the University Librarian.

Book funds need not be restricted to books, of course. They may be designated for the purchase of microforms, maps, coins, historical recordings, memorabilia and other types of library material as well.

$1,000,000 Funds
- Art Books and Periodicals
- History Books
- Medical Periodicals
- Science Periodicals

$500,000 Funds
- African Studies Books and Periodicals
- Divinity Books and Periodicals
- East Asian Studies Books and Periodicals
- Humanities Periodicals
- Medical Books
- Political Science Books and Periodicals
- Russian and East European Studies Books and Periodicals
- Science Books

$250,000 Funds
- Forestry Books and Periodicals
- Judaica Books and Periodicals
- Latin American Studies Books and Periodicals
- Music Books and Periodicals
- Social Sciences Books and Periodicals
- Microfilms and Microforms

$100,000 Funds
- Classical Studies Books and Periodicals
- Southeast Asian Studies Books and Periodicals
- Historical Maps
- Historical Sound Recordings
- Music Scores

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Construction Funds $10,000,000

Cross Campus Library Extension $6,000,000

The innovative Cross Campus Library is a success story familiar to colleges and universities throughout the country. Every year since it opened, in 1971, its collections have grown, circulation has risen and vacant seats have grown more scarce.

Situated underground, the two-level Cross Campus Library is well-suited to extension and, therefore, offers a major solution to the space crisis now threatening Sterling Memorial Library.

Plans have been made to add shelf space for about 1,250,000 additional volumes (besides the 250,000 which the Cross Campus Library is now capable of holding) by means of a three-level extension about one-half block long which will provide another 75,000 square feet of floor space. While the plans call for filling all three levels with bookstacks, the design is flexible enough to allow reading areas to be added if they are deemed desirable.

Off-Campus Storage Building $4,000,000

Many books and periodicals in the Yale Library collections are not used often enough to justify the space they take up within the central campus. They can and should be stored off campus, but in a building accessible to library users.

Yale plans to construct a storage building not far from the campus, on land far less costly than in downtown New Haven. It is expected to contain about 100,000 square feet of floor space and to be capable of housing about 2,000,000 volumes.

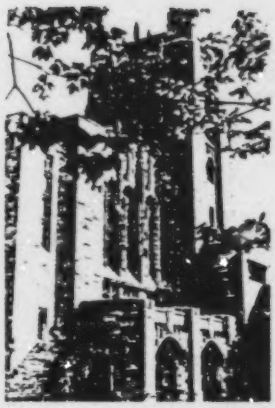
Cataloguing information is exchanged with the Ohio College Library Center, a computer data bank maintained jointly by Yale and a number of other libraries.

Current Funds For New Technology $2,000,000

The technological innovations described earlier – computer-aided systems for cataloguing and acquisition control – are the vital first steps leading to a new era in library services, one in which major libraries share expensive resources and bibliographic information, and in which computers offer library users, in a matter of minutes, the source information that now often requires hours of searching through card catalogues.

All of these innovations promise to yield unprecedented savings in time, manpower costs, acquisition costs and that precious commodity, space. As with all technological advance, it will take money to save money. Yet this remains the only lasting way to improve productivity within the Library, and improved productivity remains the only solution for an institution that must expand as long as knowledge itself expands.

Development Plans for the Princeton University Library



A MAJOR DEVELOPMENT PROGRAM is currently underway at Princeton to raise $125 million in new capital and expendable funds. The Program's primary objectives are to support ongoing educational efforts, and to make available new facilities and resources in selected areas where the University's existing strength indicates a unique capability for leadership. These priorities have been carefully defined, not only on the basis of need, but also with full regard for the serious financial situation facing higher education in the 1970's.

One of the ten major areas defined for funding within the Program, the Library accounts for nearly 20% of the total $125 million sought. This $24,775,000 will enhance every part of the Library system by adding to endowment, providing essential construction and facilities, and supplementing spendable funds.

Endowment

More than half of the $24,775,000 goal for the Library is needed to increase the general library endowment. The annual income will be used principally for staff salaries and for acquisitions. More money now buys fewer books, but more and more books are being printed every year. Thus, the number of publications and their cost are expanding faster than the University can expand its acquisitions budget.

Endowed Chair: Endowment of professorships is a long Princeton tradition associated with excellence in teaching and scholarship. A sum of $750,000 is required to endow the Chair of the University Librarian, one of the most important professorships in this or any university.

Construction and Facilities

It is estimated that if general library collections grow at the average—and austere—rate of the past five years, the present open stacks of Firestone will be completely full in four years. Moving the Manuscript and Near Eastern collections out of Firestone, in addition to the continued movement of little-used books to the Annex Library, will provide much needed space and thereby delay by an additional four years the need to expand Firestone.

The Manuscript Library, the largest single requirement for new construction, will be built on Olden Avenue, adjacent to Elm Club and across from the Engineering Quadrangle. This Library will house both the University Archives and the personal papers and files of such great twentieth-century American statesmen as Bernard Baruch, Adlai Stevenson, and James Forrestal, to name a representative few. There will be special stacks for the storage of the papers, study carrels, offices for visiting scholars, a conference area, and office and work space for the staff.

More than half of the $2,500,000 budgeted for construction of the Manuscript Library has been raised, including a large gift from the Seeley G. Mudd Fund of Los Angeles. The remaining funds to be raised, $850,000, are now urgently needed.

The Seeley G. Mudd

The Near Eastern Studies Library is one of the University's strongest collections, and one of the outstanding libraries of its kind in the United States, but its resources are now scattered in various locations in Firestone and elsewhere. To renovate the necessary space in Jones-Palmer to centralize the collections will cost $1,200,000.

The Geology Library is the only science library at Princeton that has not received major attention in recent years. The collections, considered to be superior, have outgrown their allotted space. Preliminary estimates suggest that a separate new wing of Guyot Hall for the Library will cost approximately $1,400,000.

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Architect's Rendering

Manuscript Library

Spendable Funds

Computerization: $940,000 are still needed to continue the process of Library computerization. This involves internal operations such as ordering and accounting as well as on-line access to major bibliographic sources now becoming available in many parts of the country.

Acquisitions: While more than $800,000 has been raised to date, $1,183,000 in spendable funds still are needed to establish collections in areas of new scholarly concern and to add depth and strength to existing, less developed collections. Once gaps occur, they are very hard to fill. Rising costs of all published material makes this one of the most important areas to reinforce if the Library is to continue as the University's prime educational resource.

Gift Opportunities

Gifts of Money: Permanently endowed funds for the purchase of books and other materials in the broad fields of interest to the donor may be established by gifts of $5,000 or more, in cash or securities.

Gifts of Books: The Library welcomes gifts of books within the scope of its collecting activities, which are based upon the demands, present and anticipated, of the University's programs of teaching and research.

Gifts of Manuscripts: Potential donors of manuscripts of any kind are invited to consult the Librarian.

Memorial Gifts: Individual areas in the Library system, from small study carrels to large rooms, can be designated as separate memorials by those making appropriate contributions. Book funds may also be dedicated as memorials.

Bequests: Bequests to the University for the support of the Library may be made in the form of memorials, and be restricted to any area of continuing need.

Library Goals and Progress

Of the $24,775,000 designated by the Development Program to be raised for the Library, $11,738,000 are already in hand. The following table details progress as of April 1, 1975:

	Goal	Progress	To Be Raised
Endowment			
General Library Endowment	$12,000,000	$ 5,344,000	$ 6,656,000
Endowed Chair, University Librarian	750,000	0	750,000
Total, Endowment	12,750,000	5,344,000	7,406,000
Construction & Facilities			
Firestone Library:			
Phase I Addition	1,885,000	1,885,000	0
Periodical and Newspaper Room	430,000	372,000	58,000
Reserve Reading Room	380,000	380,000	0
Social Science Reference Center	364,000	364,000	0
General Modifications	114,000	114,000	0
Jones-Palmer:			
East Asian Studies Library	560,000	560,000	0
Near Eastern Studies Library	1,200,000	0	1,200,000
Guyot:			
Biology Library	192,000	192,000	0
Geology Library	1,400,000	0	1,400,000
Manuscript Library	2,500,000	1,650,000	850,000
Total, Construction & Facilities	9,025,000	5,517,000	3,508,000
Spendable			
Acquisitions	2,000,000	817,000	1,183,000
Continuation of Library Computerization	1,000,000	60,000	940,000
Total, Spendable	3,000,000	877,000	2,123,000
Total	$24,775,000	$11,738,000	$13,037,000

The remaining $13,037,000 in Development funds for the Library must be obtained in the near future if Princeton's Library is to maintain its excellence. Persistent inflation, already reducing acquisitions and limiting service, now threatens the quality of the Library. To fulfill the total Development Program objective of raising almost $25 million for the Library is critical to the well-being of that facility, but more importantly, the well-being of Princeton.

The officers of the University stand ready to consult with potential donors about the Library's current programs and future plans, as well as the exceptional flexibility offered in the terms of various pledge arrangements. All gifts are tax deductible. Kindly direct correspondence to the University Librarian, P.O. Box 190, Princeton, New Jersey 08540.

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OMS OFFICE OF MANAGEMENT STUDIES

ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF UNIVERSITY LIBRARY MANAGEMENT STUDIES
1527 New Hampshire Avenue, N.W.
Washington, D.C. 20036
(202) 232-8656

Selected Foundations Making Grants to Academic Libraries in 1977*

Ahmanson Foundation
California

Vincent Astor Foundation
New York
General limitation to programs in or of primary benefit to New York City.

F.C. Atherton Trust
Hawaii

Boettcher Foundation
Colorado

Bush Foundation
Minnesota

Morris & Gwendolyn Cafritz Endowment
Washington, D.C.

Louis Calder Foundation
New York

John Bulow Campbell Foundation
Georgia

Clark Foundation
Texas
Grants limited to Texas

Robert Sterling Clark Foundation
New York

Commonwealth Fund
New York

Michael J. Connell Foundation
California

Council on Library Resources
Washington, D.C.

S. H. Cowell Foundation
California

CBS Foundation
New York

Charles A. Dana Foundation
Connecticut

Arthur Vining Davis Foundation
Florida
No grants to individuals or outside the United States.

DeRance, Inc.
Wisconsin

Cleveland H. Dodge Foundation
New York

Field Foundation
Illinois

Folger Fund Foundation
Washington, D.C.

Ford Foundation
New York

Charles A. Frueauff Foundation
New York

Gates Foundation
Colorado

Eva Gebhard-Gourgaud Foundation
New York

Wallace Alexander Gerbode Foundation
California
Generally restricted to Bay Area and Hawaii

Joyce & John Gutfreund Foundation
New York

W.R. Hewlett Foundation
California

Hillman Foundation
Pennsylvania

Houston Endowment
Texas

Lillia Babbitt Hyde Foundation
New York

James Irvine Foundation
California
Limited to organizations operating in California and for benefit of California residents; grants not made to governmental agencies, nor to projects supported through grants from any level of government.

W. K. Kellogg Foundation
Michigan

Kresge Foundation
Michigan

Lilly Endowment
Indiana

Henry Luce Foundation
New York

Robert R. McCormick Charitable Trust
Illinois

Andrew W. Mellon Foundation
New York

Richard King Mellon Foundation
Pennsylvania

Merck Company Foundation
New Jersey

Eugene & Agnes E. Meyer Foundation
Washington, D.C.

Mobil Foundation
New York

New York Foundation
New York
Grants restricted to the United States with major emphasis on New York city urban area.

Edward John Noble Foundation
New York

Northwest Area Foundation
Minnesota

Rockefeller Brothers Fund
New York

Rockefeller Foundation
New York

JDR 3rd Fund
New York

Helena Rubinstein Foundation
New York

S&H Foundation
New York

Scherman Foundation
New York

Alfred P. Sloan Foundation
New York

Tinker Foundation
New York

Weatherhead Foundation
New York

Westinghouse Educational Foundation
Pennsylvania

Woods Charitable Fund
Illinois

* Selected from COMSEARCH Printout of The Foundation Center

SUMMARY OF DATA CONCERNING SELECTED FOUNDATIONS WHICH HAVE CONTRIBUTED TO LIBRARIES SINCE 1972

(Reprinted from Kit 22 on Foundations)

Compiled by the Systems and Procedures Exchange Center

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TABLE 1

SUMMARY OF DATA CONCERNING SELECTED FOUNDATIONS WHICH
HAVE CONTRIBUTED TO LIBRARIES SINCE 1972
PART I: FOUNDATIONS WITH GEOGRAPHIC GRANTING RESTRICTIONS

NAME	DIRECTIONS AND OBJECTIVES	GEOGRAPHIC LIMITATIONS AND OTHER GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries*
THE VINCENT ASTOR FOUNDATION Ms. Linda Gillies 405 Park Avenue New York, New York 10022	To contribute to projects which will improve life in New York City.	Limited to projects in New York City or affecting New York City. No grants to individuals; requests for small grants are discouraged.	$750,000	$1,650	0
MARY DUKE BIDDLE FOUNDATION Mr. Francis R. Pemberton 30 Rockefeller Plaza Suite 4300 New York, New York 10020	To develop Duke University campus environment and create cultural activities at Duke University and in New York City.	Limited mostly to Duke University and organizations in New York City and North Carolina.	272,700	900	0
BUSH FOUNDATION Mr. Humphrey Doermann W 962 First National Bank Building St. Paul, Minnesota 55101	To support activities in the areas of education, humanities and the arts, community and social welfare, and medicine.	Principally in Minnesota with several grants in Chicago and Florida. No direct grants to individuals except through established programs. Less priority is given to projects for building construction, proposals requesting endowment funds or support to cover past operating deficits or general and continuing operating support. The Foundation has been reluctant to provide funds for basic scholarly research within established academic disciplines.	2,000,000	5,000	8
CHICAGO COMMUNITY TRUST Mr. Bruce L. Newman 208 South LaSalle Street Chicago, Illinois 60604	To encourage and assist charitable enterprises and purposes to accomplish greater good.	Chicago.	$300,000	$ 21	3
CLEVELAND FOUNDATION Mr. Homer C. Wadsworth 700 National City Bank Building Cleveland, Ohio 44114	Public, charitable or educational institutions in Ohio, research, care of the sick to improve living and working conditions, public recreation.	Cleveland	525,224	26	5

*Foundations listed as having contributed to no (0) library-related projects in 1974 are included on this table because of their contributions to libraries in previous years.

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TABLE I - PART I
(Continued)

NAME	DIRECTION AND OBJECTIVES	GEOGRAPHIC LIMITATIONS AND OTHER GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
GEORGE GUND FOUNDATION Mr. James S. Lipscomb One Erieview Plaza Cleveland, Ohio 44114	To enchance man's understanding of his environment and to increase his ability to cope with its ever-changing requirements. Education program objectives: to encourage new and improved concepts and methods of teaching and learning. Preference given to pilot projects, innovative programs and research which hold promise of significant benefit of broad applicability.	Mostly to Northeastern Ohio. Usually no grants for building construction and endowment purposes.	$350,000	$ 500	0
CHARLES HAYDEN FOUNDATION Mr. William T. Wachenfeld 140 Broadway New York, New York 10005	To rear a nobler race of men who will make better and enlightened citizens, to the ultimate benefit of mankind.	No grants to individuals. Preference given to organizations that serve youth in New York City and Boston, and that are in need of physical facilities to improve quality and availability of services to increasing numbers of young people.	200,000	500	6
HILL FAMILY FOUNDATION Mr. John D. Taylor West 975 First National Bank Building St. Paul, Minn. 55101	For projects in fundamental research in ideas and their application through high risk experimental and demonstration programs from which other more conservative sources of funding might shy, particularly public funding agencies.	Northwest United States	650,000	100	3
HILLMAN FOUNDATION Mr. Ronald W. Wertz 2000 Grant Building Pittsburgh, Pa. 15219	To promote programs in the areas of education, rehabilitation, cultural advancement and the arts, and community development.	Pittsburgh and Allegheny County, Pennsylvania.	500,000	1,000	6
HOUSTON ENDOWMENT Mr. J. Howard Creekmore P.O. Box 52338 Houston, Texas 77052	The purpose [of this foundation] is the support of any charitable, educational, or religious undertaking.	Priority placed on local and state problems.	[1]5,000,000	[1]1,200	14
MCINERNY FOUNDATION Ms. Lois S Smouse P.O. Box 2390 Honolulu, Hawaii 96804	To promote the welfare of the people of the Hawaiian Islands, to aid charitable, scientific or educational purposes, or for the prevention of cruelty to children or animals.	Mostly Hawaii. Grants restricted to secular institutions.	35,000	330	4

[1]Data is for both 1973 and 1974.

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TABLE I - PART I
(Continued)

NAME	DIRECTIONS AND OBJECTIVES	GEOGRAPHICAL LIMITATIONS AND OTHER GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	% Related to Libraries
A. W. MELLON EDUCATIONAL AND CHARITABLE TRUST Mr. Theodore L. Hazlett 224 Oliver Building Pittsburgh, Pa. 15222	Broad educational, health, civic and cultural development and urban affairs. Grants are conceived as enabling -- intended to enable creative leadership in the community affairs of the Pittsburgh area to demonstrate and develop improved and more effective patterns of operation.	Pittsburgh. Grants are seldom made to institutions or programs which have a sound basis for support from the general public or from some segment of the public.	$100,000	$ 250	7
RICHARD KING MELLON FOUNDATION Mr. Elston R. Law 525 William Penn Place Pittsburgh, Pa. 15219	To encourage cooperation among institutions for elimination or duplication of resources in the areas of medicine, education, social services, civic affairs, conservation and cultural activities.	Priority given to projects in or effecting Pittsburgh and Western Pennsylvania. No grants to individuals.	600,000	6,000	2
MOODY FOUNDATION Mr. Robert E. Baker 704 Moody National Bank Building Galveston, Texas 77557	For the benefit of the total community, and to grant funds to organizations serving to improve the quality of life, especially to expand facilities or improve the programs of educational, health and community service organizations; promote research, demonstration and developmental efforts which hold promise for producing significant new benefits; develops new bases of support and enlarges audience participation in the arts and humanities; and preserves our historic cultural heritage.	Texas. Does not provide funds for personal needs, deficit financing, routine operating costs, or programs for which public support is readily available.	400,000	2,500	10
THE FUND FOR NEW JERSEY Mr. Gordon A. MacInnes 50 Evergreen Place East Orange, New Jersey 07017	Emphasis given to New Jersey organizations which provide direct services and which are not tax-supported.	New Jersey. No grants to individuals or for land acquisition, construction or major renovation.	267,500	1,000	0
WILLIAM PENN FOUNDATION 920 Suburban Station Building 1617 JFK Blvd. Philadelphia, Pa. 19103	Broad, general giving principally for educational, cultural, health, conservation and social welfare.	Philadelphia. No grants to individuals; or for long-term or deficit financing.	[2]1,250,000	[2] 745	[2]4

[2]The years the appriation was made is not indicated in the current annual report.

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TABLE I - PART I
(Continued)

NAME	DIRECTIONS AND OBJECTIVES	GEOGRAPHIC LIMITATIONS AND OTHER GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
PERMANENT CHARITY FUND Mr. Fred L. Glimp One Boston Place Boston, Mass. 02106	To support health, welfare, education, cultural or recreational programs and institutions, start-up expenses, experimental programs, capital needs, and for coordination and planning projects.	Boston. No grants to individuals or for medical or scientific research or for loans, or the writing or publication of books and articles, for churches or sectarian religious groups, for operating budgets except for limited demonstration periods.	118,063	50	5
Z. SMITH REYNOLDS FOUNDATION Dr. Dale H. Gramley 1225 Wachovia Building Winston-Salem, N.C. 27101	General charitable purposes, grants primarily made to schools, colleges, hospitals, public health, libraries, and recreation.	North Carolina. No grants to individuals.	$500,000	$1,000	3
SAN FRANCISCO FOUNDATION Mr. Martin A. Paley 425 California Street San Francisco, Calif. 94104	Aid agencies working for the betterment of life in the San Francisco Bay area.	San Francisco Bay area.	1,000,000	100	2
SARAH SCAIFE FOUNDATION Mr. Harold W. Lauerman 1114 Oliver Building Pittsburgh, Pa. 15222	Broad purposes, chiefly higher education, urban projects, youth activities and recreation, vocational training, hospitals and medical education, research, ecology, conservation and public affairs.	Western Pennsylvania. No grants to individuals nor to nationally organized fund-raising groups.	1,000,000	2,000	2
JOHN JAY AND ELIZA JANE WATSON 507 Westminster Avenue Elizabeth, New Jersey 07208	To make grants to meet the needs of our fellowman in education, health, religion, welfare, the humanities, and to grow in perpetuity.	No grants to individuals and the Foundation rarely supports operating budgets. Serves primarily New York City Metropolitan area.	40,000	1,000	0
G. N. WILCOX Ms. Lois S. Smouse P.O. Box 2390 Honolulu, Hawaii 96804	To assist public, charitable, educational, and religious work, and for the advancement of the public health or morals.	Hawaii	21,400	200	2

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TABLE I

SUMMARY OF DATA CONCERNING SELECTED FOUNDATIONS WHICH
HAVE CONTRIBUTED TO LIBRARIES SINCE 1972
PART II: FOUNDATIONS WITHOUT GEOGRAPHIC GRANTING RESTRICTIONS

NAME	DIRECTIONS AND OBJECTIVES	GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
COUNCIL ON LIBRARY RESOURCES 1 Dupont Circle N.W. Suite 620 Washington, D.C. 20036	For the purpose of aiding in the solution of problems of libraries generally, and of research libraries in particular: conducting research in developing and demonstrating new techniques and methods, and disseminating through any means the results thereof; and for making grants to other institutions and persons for such purposes; and for providing leadership in and wherever appropriate, coordination of efforts to develop the resources and services of libraries, and to improve relations between American and foreign libraries and archives.		[3]350,000	[3] 270	[3]38
ARTHUR VINING DAVIS FOUNDATIONS Mr. William R. Wright 1714 First National Bank Building 100 South Biscayne Blvd. Miami, Florida 33131	Private education, medicine, religion and public television.	No assistance to individuals except participants in a scholarship program, nor to election-related drives, nor legislative influences, nor institutions primarily supported by government funds nor for very extensive periods of time.	400,000	3,000	3
MAX C. FLEISCHMAN FOUNDATION Mr. Julius Bergen, Chairman P.O. Box 1871 One East Liberty Street Reno, Nevada 89505	General giving emphasizing education and research in the medical and biological sciences.	No grants to individuals. The Foundation does not contribute to organizations engaged in multiple activities or which distribute grants to ultimate beneficiaries of its own selection. Higher priority is given to projects which are not normally funded by public tax funds. Grants not usually made for conferences, seminars, workshops, travel purposes or exhibits, or for the publication and preparation of books, films, magazines, or other media.	$500,000	$1,000	0

[3]1975 figures.

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TABLE I PART II
(Continued)

NAME	DIRECTIONS AND OBJECTIVES	GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
THE FORD FOUNDATION Mr. McGeorge Bundy 320 East 43rd Street New York, New York 10017	To advance public welfare by trying to identify and contribute to the solution of problems of national and international importance. Grants primarily to institutions for experimental, demonstration, and developmental efforts that are likely to produce significant advances within the Foundation's diverse fields of interest.		$12,424,000	$ 25	3
LILLIA BABITT HYDE FOUNDATION Mr. Robert W. Parsons, Jr. c/o U.S. Corporation of America 60 Wall Street New York, New York 10050	To carry out the high ideas of the founder by making grants to meet the needs of our fellowman in education, health, religion, welfare, and the humanities and to grow in usefulness in perpetuity.	Primary interest is in development of projects rather than ongoing operational problems.	$ 60,000	$ 300	2
KELLOG FOUNDATION Mr. Russell G. Mawby 400 North Avenue Battle Creek, Michigan 49016	Development of personnel— professional and volunteer-- to provide leadership and expertise for new and innovative programs in health, agriculture and education.	Interested in application of knowledge rather than research per se; does not support operational phases of established programs, capital activities, conferences, publications, films or fellowships, ongoing local scope projects and endowments or religious sects. Limited to agriculture, health and education in U.S., Canada, Latin America, Europe and Australia. Agencies should have financial potential to sustain the project on a continuing basis. No grants to individuals.	676,100	750	1
KRESGE FOUNDATION Mr. William H. Baldwin 2401 West Big Beaver Road Troy, Michigan 48084	Grants primarily for building construction or renovation projects, major capital equipment toward betterment of Negro education, hospitals, health-related groups, youth care and care of the aged, conservation and the arts.	Does not support special operating budgets, conferences, seminars, loans, student aid, debt retirement, research or grants to individuals. Foundation principally makes challenge grants to well-established, accredited institutions. Applications must be made the first three months of the year.	1,000,000	6,000	24

4 Does not include grants made through the Council on Library Resources, which is funded by the Ford Foundation.

TABLE I PART II
(Continued)

NAME	DIRECTIONS AND OBJECTIVES	GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
LILLY ENDOWMENT, INC. Mr. Landrum R. Bolling 2801 North Meridian St. Indianapolis, Ind. 46208	Emphasis on higher and secondary education, cultural programs, projects in the arts, youth and child welfare agencies, hospitals and social agencies.		$4,751,000	$ 500	9
ROBERT R. MCCORMICK Mr. Thomas R. Furlong 435 North Michigan Ave. Chicago, Ill. 60611	For religious, charitable, scientific, literary or educational purposes or for the prevention of cruelty to animals.		900,000	1,000	3
ANDREW W. MELLON FOUNDATION Mr. Nathan M. Pusey 140 East 62nd Street New York, New York 10021	To aid and promote such religious, charitable, scientific, literary and educational purposes, as may be in the furtherance of the public welfare or tend to promote the well-being or well-doing of mankind. The Foundation makes grants to institutions in higher education.	No grants to individuals or to strictly local organizations outside New York Metropolitan area.	2,500,000	800	15
MERCK COMPANY FOUNDATION Ms. Grace M. Winterling Raxway New Jersey 07065	To provide financial support to many programs concerned with the needs of education, social welfare, health, medicine, science, and civic betterment.		60,000	150	2
MOBIL FOUNDATION Mr. Earl B. Whitcraft 150 E 42nd Street New York, New York 10017	Charitable and educational purposes, support for worthy charities in areas of company operations, with emphasis on higher education in fields relating to petroleum and chemical industries.		201,245	100	6

TABLE I PART II
(Continued)

NAME	DIRECTIONS AND OBJECTIVES	GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
JESSIE SMITH NOYES FOUNDATION Ms. Edith Muma 16 E 34th Street New York, New York 10016	Concentrates on grants to institutions concerned with environment, education and health, which have explicit programs designed to aid students preparing careers in those areas and to programs which accelerate practical application of available knowledge. The Noyes Foundation seeks to support leadership and visionary programs.	Limits support to institutions at the post high school level, which have explicit programs designed to aid students preparing for careers in education and health.	$ 50,000	$1,500	1
PUBLIC WELFARE FOUNDATION Mrs. Veronica T. Keating 2600 Virginia Ave. Rm. 511 Washington, D.C. 20037	Improve education, health conditions and human happiness where circumstances beyond control have deprived people of developing in keeping with their natural abilities.	No grants to individuals nor for religious purposes nor for scholarships, research nor conferences, meetings, seminars and research.	30,000	1,000	1
ROCKEFELLER BROTHERS FUND Mr. Robert C. Bales 30 Rockefeller Plaza New York, New York 10020	To look toward solutions of overall societal problems, including environmental concerns, conservation and constructive use of natural resources; equal opportunity, quality of life, religion, human values and cultural affairs, education and international affairs.	Primarily to agencies whose activities are city-wide in scope, except in New York City and for programs of general importance.	975,000	1,000	7

TABLE I PART II
(Continued)

NAME	DIRECTIONS AND OBJECTIVES	GRANT RESTRICTIONS	GRANTS APPROPRIATED IN 1974		
			Highest	Lowest	# Related to Libraries
ROCKEFELLER FOUNDATION Mr. John H. Knowles 111 West 50th Street New York, New York 10020	To promote the well-being of man throughout the world.		$1,500,000	$ 484	5 [4]
SCHERING FOUNDATION Mr. W. H. Conzen 60 Orange Street Bloomfield, New Jersey 07003	To support institutional activities devoted to improving the quality and delivery of health care such as medical and allied education, and training of health professionals and administrators, general higher education.		50,000	1,000	0
SURDNA FOUNDATION 200 Park Avenue Suite 1619 New York, New York 10017	To support religious, charitable, scientific, education and eleemosynary purposes.	Prefers to give funds directly to specific organizations and programs. No grants to individuals nor organizations outside the U.S.	500,000	2,000	3
TINKER FOUNDATION Miss Martha T. Muse 645 Madison Avenue New York, New York 10022	Promotion of a better understanding of Ibero-America. Support is offered for projects focusing on the training of specialists at post-graduate level and as well as, the education of Spanish and Portuguese speaking people in the U.S.	Grants only for projects concerned with activities related to Ibero-America. Priority is given to work in social sciences. No grants to annual fund raising appeals or to individuals.	400,000	4,500	6

[4] For 1973